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ABSTRACT

The aim of these documents is to assist Local Authorities in Britain with asset management planning (AMPs) for schools. AMPs set out the information needed, and the criteria used, to make decisions about spending on school premises which will: raise standards of educational attainment; provide sustainable and energy-efficient buildings that are consistent with Local Agenda 21 strategies (from 1992's Earth Summit); provide innovative design solutions that reflect the future needs of technology-based education; increase community use of school facilities; maximize value for money; ensure efficient and effective management of new and existing capital assets; help governors and head teachers in developing plans for individual schools by making fair and transparent the process of decision-making on funding priorities across the Authority; help the development of partnership projects; and provide assurance to stakeholders that capital projects are soundly based and represent good value for the money. The guidance on formulating AMPs is presented in six sections: (1) the plan framework; (2) property information systems and school premises data; (3) condition assessment; (4) suitability assessment; (5) sufficiency assessment; and (6) appraisal guidance. (EV)

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Department for Education and Employment, London England

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Practice ✓

Management & Finance

Asset Management Plans

Section 1: Framework

Local Education Authorities, Schools & Dioceses

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ASSET MANAGEMENT PLANS

SECTION 1: FRAMEWORK

First issued in February 1999, incorporating revisions in respect of:-
amendments notified in letter of 15 September 1999 to Authorities;
updated references to other AMP guidance;
minor formatting amendments.

April 2000

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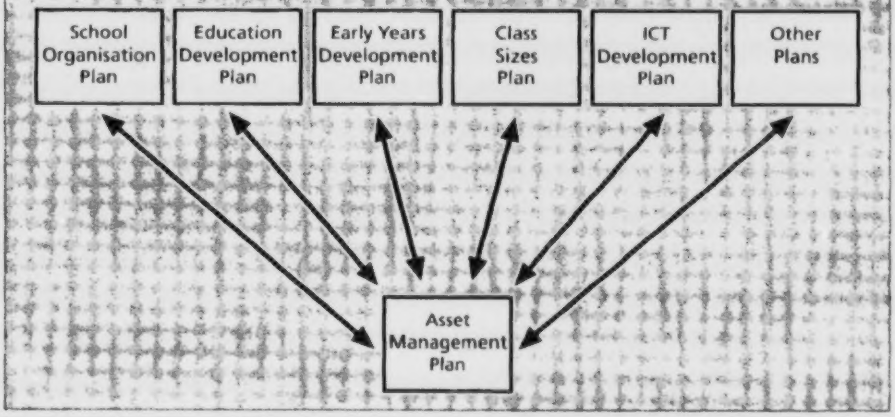
5. Where sound processes and good AMPs are in place, it will be possible for the DfEE to operate with a lighter touch, giving Authorities more assurance of predictable longer term funding and greater discretion to pursue national and locally agreed priorities.

About this Section

6. This first section in the series sets out non-statutory guidance on the policy framework of AMPs, including the aims and objectives, the scope, the timescale, and the respective roles and responsibilities of the partners. It also outlines the main stages in developing AMPs and the processes that these involve, as well as the DfEE's proposals for appraising AMPs.

Box 1. AMPs will need to take account of, and influence, the capital consequences of other Authority Plans



10. Authorities will have the overall responsibility for preparing AMPs, given Authorities' statutory duty for securing school places in an area. However, the outputs from AMPs must also be owned by schools and dioceses, with a consensus obtained on the prioritisation criteria. Decision-making processes must be transparent to governors, head teachers and dioceses. There should be demonstrable fairness of treatment between different categories of schools.

☐ **to help the development of partnership projects;**

11. The information from AMPs will help Authorities and schools to judge in which circumstances PPPs are likely to be an appropriate method of procurement, and allow potential private sector partners to form a view about opportunities for partnership projects.

☐ **to provide assurance to stakeholders that capital projects are soundly based and represent good value for money;**

12. AMP information will help to underpin allocations of capital support, both for traditionally procured projects and for PPPs, and to give assurance that such allocations are soundly based and represent good value for money. AMPs should build on, and encourage, good practice in the effective management of new and existing school assets, and be fully complementary with the Best Value Initiative (see Box 2) and support Local Agenda 21 strategies (see Box 3).

Box 4. Fair Funding

Following 'Fair Funding: Improving Delegation to Schools', Local Authority responsibility for revenue repairs and maintenance will, from April 1999, be delegated to schools. It is also proposed, as part of the DfEE's longer term capital strategy, that there should be a separate formula allocation that schools can use towards capital projects. Authorities will be responsible for larger capital items and for the negotiation and implementation of PPP schemes.

Authorities retain the responsibility for monitoring schools and for ensuring that buildings meet educational needs. AMPs will show, over a period of time, how schools are maintaining their buildings.

14. AMPs will relate to all property within the curtilage of the site: buildings (permanent and temporary; owned and leased; educational and residential), swimming pools, roads and paving, and playing fields. For completeness, they will also need to include detached playing fields and other off-site facilities provided for schools. All premises-related capital items should be covered, including fittings and fixed furniture, and cabling for information, communication and technology (ICT) facilities. There may be scope in the longer term for AMPs being extended to also cover loose furniture, ICT or other equipment.

15. Types of capital work will include:

    - site acquisition and disposal;
    - school place provision and surplus space removal;
    - replacement, remodelling, extensions and improvement.

16. AMPs need to identify Authorities' approaches to balancing initial capital expenditure against running costs. The initial capital investment decision can have an important bearing on the level of subsequent premises running costs, as under-investment at the outset can lead to disproportionately high recurrent expenditure over the life of the building. Similarly, under-spending on essential recurrent items such as planned maintenance can result in more expensive unplanned repairs and has capital consequences. PPPs will focus attention on lifetime costs and therefore help avoid poor decisions based on short term capital cost considerations. Investment appraisals for particular projects, using discounted cash flows over the forecast life of the asset, will enable Authorities to determine the appropriate balance of initial capital expenditure and running costs, whether for traditionally procured, or PPP projects.

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Schools (Governors and Head Teachers)

- identifying, in consultation (where relevant) with diocesan bodies, school priorities in the context of their School Development Plan (SDP), and making clear what outputs, either physical or educational, will be achieved in meeting those priorities;
- contributing to the development of Authority-wide priorities;
- acting as the responsible custodian of the premises;
- planning, budgeting and managing projects for which they are responsible, including those in Foundation and Voluntary Aided (VA) schools, those covered by devolved or formula funding and those which are self-financed, in line with agreed AMPs;
- carrying out some monitoring of PPP service delivery as agreed with the Authority;
- assessing the contribution that capital investment makes to the attainment of pupils;
- co-operating in the preparation of the AMP;

Authorities

- developing policies, priorities and action plans as part of their statutory role in supplying school places, creating specialist units etc., planning and delivering the annual capital programmes;
- preparing and obtaining agreement to an Authority-wide policy statement on AMP roles, responsibilities, scope etc.;
- treating schools in all categories fairly;
- maintaining a dialogue with schools and other partners about the link between investment and outputs, both physical and educational, and how this will inform priorities, and agreeing and monitoring delivery of outcomes;
- giving advice and being responsible for information collection (a significant issue will be ensuring consistency);
- monitoring the carrying out of government body responsibilities and making clear how good stewardship by schools is rewarded (that is when maintenance programmes are appropriately funded and managed);

PART 2: STAGES IN DEVELOPING AN ASSET MANAGEMENT PLAN

23. This part describes the main stages in the asset management planning process. Some of these processes are covered in more detail in other sections of this series of guidance notes. The process can be divided into six fairly distinct stages (Box 5).

Box 5. Diagram of the main stages in developing an AMP

Stage 1: Local Policy Statement

Identify roles, responsibilities and scope of Plan.

↓

Stage 2: Assessing existing premises

Set up the database and compile basic data on each school.

↓

Stage 3: Identifying needs

Consider condition, sufficiency and suitability needs and identify areas of concern.
Consider Authority Plans and School Development Plans.

↓

Stage 4: Determining priorities

Develop overview on priorities.
Prioritise most serious and urgent needs.

↓

Stage 5: Feasibility Studies and Option Appraisal

Establish feasibility of potential solutions to priority needs.
Appraise options and establish economic and effective proposals.
Investigate funding and procurement arrangements.

↓

Stage 6: Implementation, review and evaluation

Develop proposals and finalise funding.
Implement new/improvement/rationalisation/maintenance works.
Arrangements for review and evaluation.

STAGE 2: ASSESSING EXISTING PREMISES

Collecting Information

27. Accurate premises information is essential to enable successful AMPs to be developed. Basic factual information on the schools in the Authority's area is needed to assess existing school accommodation consistently. This will include information on location, details of ownership, the size, capacity and type of buildings, the numbers of pupils, running costs and asset values. Many Authorities, dioceses and schools will already have some of this information in land terriers[2], asset registers[3] and premises databases. Where key information is lacking, Authorities may need to commission work to obtain it, with the cost being justified in terms of the contribution it will make towards decision-making. It is essential, however, that in gathering data, clear priorities are identified at the earliest stage in order to concentrate on gathering the minimum of information for maximum usefulness.

28. Apart from underpinning new capital and repair programmes, the information gathered will help to inform Authorities' strategies for improving the use and performance of existing assets and maximising value for money, for example, in developing incentives for better property management[4] and benchmarking (see Box 6).

Box 6. Benchmarking

Benchmarking is an important element of the Best Value process. It involves the systematic sharing of performance information amongst groups of users for the purpose of showing how specific premises aspects (for example, building or maintenance costs per m^2, gross area per pupil, etc.), compare with Authority-wide or nation-wide best practice. Recent pilot exercises carried out by the Association of Chief Corporate Property Officers in Local Government (COPROP) have indicated significant differences amongst similar schools across the country in terms of, for example, cost per space, insurance, water charges and maintenance investment[5].

Property Information Systems

29. The development of an adequate premises information system is central to good management and planning. It will enable the key factors in decision making - both needs and available resources - to be brought together in an integrated and consistent way. Computer applications can now enable data to be assembled and manipulated with relative ease.

Section Two in this series gives further information on Property Information Systems and School Premises Data.

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[2] Legal record of land holdings and use, kept by Local Authorities.

[3] The Chartered Institute of Public Finance and Accountancy (CIPFA) encourages a common and consistent approach to asset valuation. It has identified the development and maintenance of comprehensive asset registers as best practice across the Local Government Sector. See CIPFA's publication *Asset Registers - A Guide for Public Services.* 1997

[4] CIPFA guide *Capital Accounting by Local Authorities: People + Pounds + Property = Services*, examines how the new system of capital accounting for Authorities can be used to assist in improving property management and service performance.

[5] See also CIPFA's *Benchmarking to Improve Performance.* 1998

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Sufficiency Needs

33. With the implementation of the New Framework for Schools, Authorities will continue to have the statutory role to secure sufficient primary and secondary school places. However, the organisation of school places at local level remains a partnership between the Authority, the dioceses, school governors and, above 16, the Further Education Funding Council. That partnership will have formal effect in the School Organisation Committee[6].

34. The School Organisation Plan (SOP) will set out for each Authority the number of places available and the demand for them, including special schools. For the primary sector, Authorities must also ensure that there will be no infant classes with more than 30 pupils from September 2001 onwards. Each Authority has also established an Early Years Development Partnership that represents those locally with an interest in early years services, and takes the lead in the planning of early education and day care. the Early Years Development Plan sets out how the Government's targets for early education and day care will be met.

35. SOPs are expected to identify where there is a need to add or remove school places. Authorities already undertake some of this activity in order to provide their annual report to the DfEE on surplus school places. The Audit Commission publication *Trading Places*[7] suggests a rolling programme of reviews where future demand may be problematic or where there are structural or organisational difficulties. AMPs should cover any capital works arising from the SOP and the need to remove surplus places.

36. In considering sufficiency needs, Authorities will want to think corporately about the use of assets. For example, can school buildings be used for other purposes, such as community or private sector use; or are there other premises which can solve temporary accommodation problems caused by demography, thus avoiding the necessity to build new facilities. Authorities may also want to consider keeping open some or all of a school which forms a vital community resource where it might otherwise be closed.

A further section in this series will give guidance on assessing sufficiency.

Suitability needs

37. Premises priorities should relate to the priority needs and improvement targets of schools as identified in their School Development Plans. The link between premises improvement and raising educational standards may be direct and demonstrable. At the Authority level, suitability should link to the service priorities and targets arising from the Authority's Education Development Plan. These priorities will be

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[6] The DfEE issued draft guidance for consultation in December 1998 on School Organisation Committees and School Organisation Plans

[7] The Audit Commission's *Trading Places: The Supply and Allocation of School Places* 1996

- in large authorities, area review committees;
- premises liaison meetings at schools to discuss premises issues, criteria used to determine priorities, funding options, etc.

42. Authorities will need to include in Local Policy Statements the methodology to be used for determining priorities and will need to ensure that the methodology has the full support of schools and dioceses.

STAGE 5: FEASIBILITY STUDIES AND OPTION APPRAISAL

43. Having prioritised need, Authorities will need to work up feasibility studies and consider the costs and benefits of alternative solutions. For some repairs and minor capital works, the solutions to particular premises problems may be clear cut. For larger projects, however, consideration of a range of options is needed for a rationally based decision. Two 'baseline' options, against which others would be considered, would be the 'status quo' and 'do minimum' options. Analysis of the main lifecycle costs and benefits of each option will help to establish the most effective and economic solution. This analysis will normally involve the use of investment appraisal techniques. Details on these are given in the Treasury's 'Green Book'[8], and further advice will be provided by the DfEE in due course.

44. From feasibility studies and option appraisals should emerge a list of projects that address the prioritised needs, These projects in turn should be prioritised in relation to how well they address the needs and to their comparative value for money. It is likely that constraints on resources will mean that only the best performing projects will proceed.

45. In prioritising projects, Authorities will also need to look at the best way of funding them. For any project there will be a number of possible funding routes, including:

- borrowing by Authorities supported by DfEE credit approvals;
- capital grant provided to Authorities by the DfEE through the New Deal for Schools;
- capital and repair grant provided to Voluntary Aided schools by the DfEE;
- capital grant made available by the DfEE to Authorities and governors on a one-off basis to tackle particular issues (for example, class sizes or outside lavatories);
- capital receipts;

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[8] HM Treasury's Appraisal and Evaluation in Central Government, 1997

☐ programme the repair and maintenance works so as to:

- maintain a specified level of performance of services, internal environment and operating characteristics of the building;
- ensure minimum disruption to the operation of the school;
- match forecast levels of funding.

☐ provide a tool for budgeting and financial management.

Similar planned maintenance programmes should also be put in place for existing school premises.

49. Authorities will be responsible for providing advice and guidance, where required, to help schools develop maintenance programmes and to monitor their adequacy when in operation.

Review

50. AMPs are dynamic in nature. The outcomes from capital and maintenance programmes, as well as the requirements of new policies and initiatives, will need to be reflected within the ongoing updating and review of the AMPs. This will require reprioritisation of projects, identification of new needs etc. and include reassessing the assumptions underlying the Local Policy Statement.

Evaluation

51. Each Authority will need to evaluate how well their AMP has worked in practice, say two or three years after its introduction, and subsequently. This will involve determining how the AMP has contributed to improving the quality of capital management, and to raising educational standards. As part of this process, the nature of the local situation at the outset will need to be clear to ensure that the effect of the AMP can be separated from underlying factors.

52. Authorities will also need to co-operate with the DfEE in providing information to enable the national impact of the AMP policy to be evaluated. The DfEE will provide further advice and guidance on evaluation as part of its outreach function in appraising AMPs.

Arrangements for determining priorities:

- securing common local ownership;
- links with statutory plans;
- rational selection criteria;
- fairness.

Performance:

- matching supply and demand for places;
- outcomes compared with plans and targets;
- impact on educational standards;
- year-on-year movements in the quality of stock.

Track record against benchmarks:

- new building performance[11];
- effectiveness of repairs and maintenance programmes;
- effectiveness of use of existing assets.

57. The appraisal will be carried out by DfEE officials as part of their Authority outreach function. In practical terms, this would take the form of desk-based evaluation of the Authority's Local Policy Statement, processes and outputs; interviews with officers, dioceses and sample schools; and inspection of sample building projects. Further guidance on the proposed approach towards appraisal will be issued later in 2000.

DfEE'S AMP DATA REQUIREMENTS

58. A part of the appraisal process, the DfEE will need to collect and analyse key elements of Authorities' AMPs data. The type of data, and the means of collection, are described in Section 2. Information needs in respect of school condition and suitability are described in Sections 3 and 4 of this series of guidance notes.

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[11] With reference, in particular, to Architects and Building Branch's Building Bulletin 82: Area Guidelines for Schools, in relation to area standards; and Education Building Projects: Information on Costs and Performance Data, in relation to cost standards.

ANNEX B: REFERENCES

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Audit Commission **Hot Property.** Audit Commission Publications 2000.

CIPFA **Benchmarking to Improve Performance.** CIPFA Publications 1997.

CIPFA **Asset Registers: A Guide for Public Services.** CIPFA Publications 1997.

CIPFA **Capital Accounting by Local Authorities: People + Pounds + Property = Services.** CIPFA Publications 1998.

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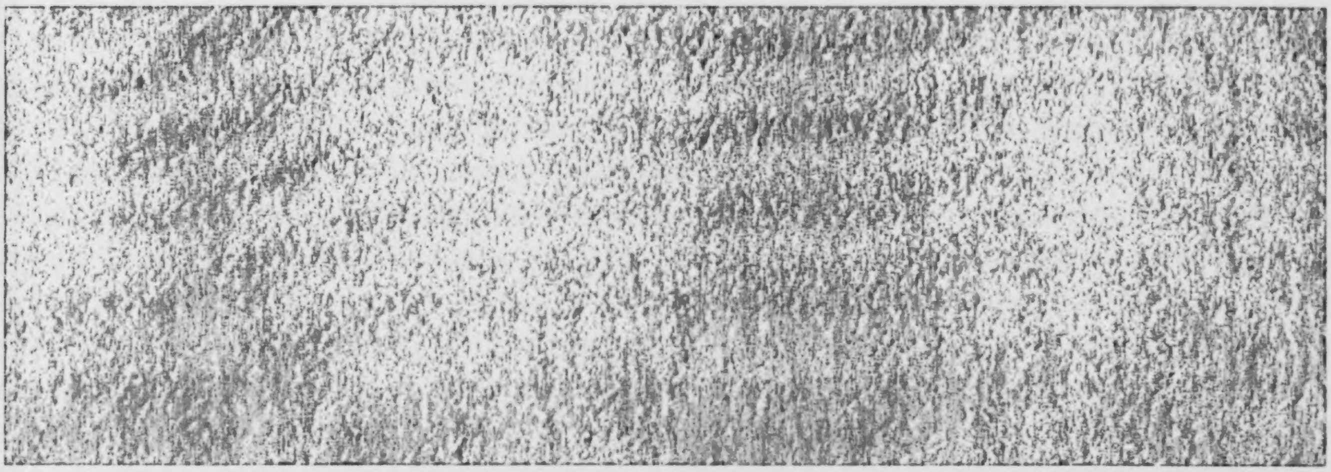

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Asset Management Plans

Section 2: Property Information Systems and Schools Premises Data

Local Education Authorities, Schools & Dioceses

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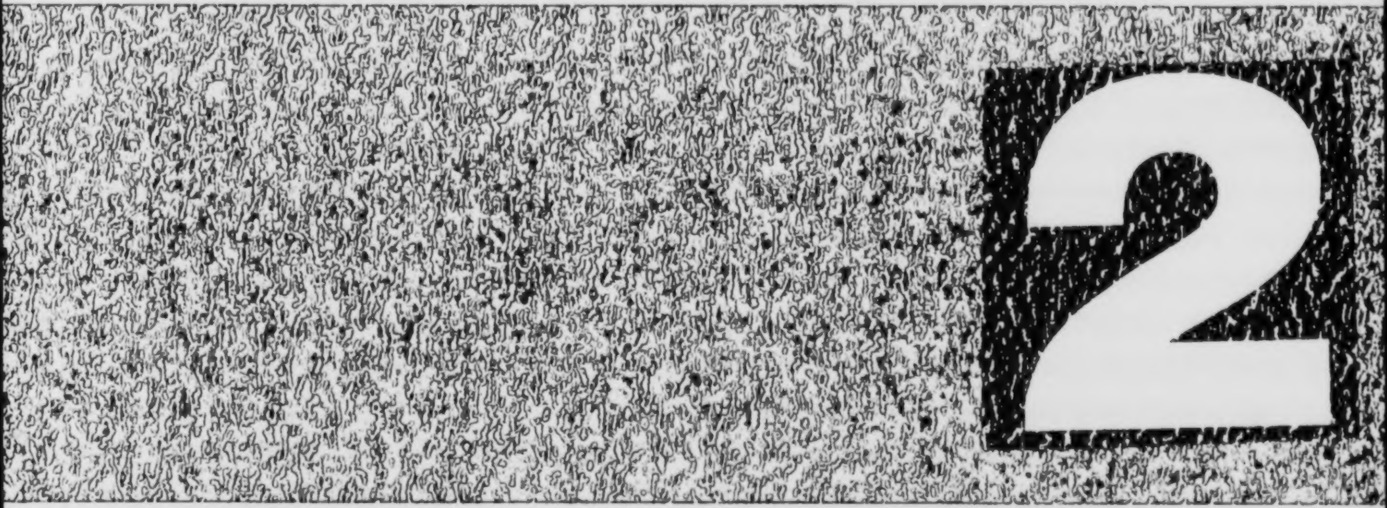

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ASSET MANAGEMENT PLANS

SECTION 2: PROPERTY INFORMATION SYSTEMS AND SCHOOLS PREMISES DATA

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INTRODUCTION

Background

1. Provisional Guidance on Asset Management Plans (AMPs) was published by the DfEE in August 1998. This was reviewed in the light of subsequent consultations with Local Education Authorities (Authorities) and other interested parties. The review identified the need for a number of revisions, which have been incorporated in guidance notes. This is the second section in a series and deals with Property Information Systems and School Premises Data. The other sections are:

   ☐ Section 1: Framework

   ☐ Section 3: Condition Assessment

   ☐ Section 4: Suitability Assessment

2. Further guidance will be issued regarding sufficiency assessment and appraisal of AMPs.

About this Section

3. The development of an adequate property information system will be central to good asset management planning because it will enable the key factors in decision making - both needs and available resources - to be brought together in an integrated way. For the purposes of decision-making, information will be required on the facts about land and buildings owned, rented or maintained by Authorities and schools, as well as the relative performance of premises in terms of cost in use and other aspects. Computer-based systems are now available that enable these types of information to be gathered, stored and analysed with relative ease.

4. Part 1 of this Section, developing themes begun in the earlier Provisional Guidance, provides non-statutory guidance on the issues and approaches that Authorities may wish to consider in developing computer-based property information systems for AMPs. Part 2 outlines the sub-set of information from these systems that the DfEE will need to help it appraise Authorities' AMPs as they are developed over time.

PART 1:
PROPERTY INFORMATION SYSTEMS

5. The asset management planning process demands an integrated approach spanning a range of Authority services, external suppliers, governing bodies and dioceses. To inform key decision-making processes, the development of an AMP requires management information for a range of audiences.

6. Currently, many Authorities make use of a variety of computerised and non-computerised systems to support the development, implementation and monitoring of capital and planned maintenance programmes. Given the comprehensive information requirements of the asset management process, Authorities will need to evaluate carefully the options that are available to them within the existing Information Technology (IT) infrastructure, and whether or not the systems in place are adequate to meet their needs. In particular, Authorities will need to consider:

   - ☐ what their key information requirements are, and what outputs are needed to inform the process;
   - ☐ where the critical differences lie between what the systems do now and what they will be expected to deliver in the future;
   - ☐ what technical standards need to be taken into account when considering the applicability of existing and new technology;
   - ☐ whether or not the technical skills and expertise within the organisation can match requirements to deliver a property information system within the required timescales.

7. It is important that the possibilities on offer from the deployment of new technology do not mask the complexities of using it effectively or jeopardise the production of an informed and comprehensive AMP. If an Authority decides to use the asset management planning approach for all its properties, it will need to bear in mind the requirements of other 'clients' when setting up Authority-wide computerised property informaton systems.

SYSTEM REQUIREMENTS

8. There is no straightforward answer on how to use a property information system to support the AMP. Given the range of circumstances found in each Authority, it is likely that organisations will need to make decisions based upon what is currently available, what needs to be achieved and what is the most cost effective route for getting there.

Integrate or New System?

9. Many Authorities will already have systems that can tackle many of the requirements of AMPs. In such cases, the Authority will need to decide whether to integrate AMP requirements with the existing system or to invest in a new system. Authorities with in-house IT development teams in a number of service departments may prefer the integration option. Some Authorities may wish to develop AMP database systems that serve more than just the education service.

10. It is important to discuss with IT professionals the use of existing systems in relation to emerging requirements of AMPs. In particular, new functionality will be required for:

☐ storing a common set of premises data, condition survey and sufficiency/suitability assessment information;

☐ providing benchmarking against a range of possibly pre-programmed performance indicators;

☐ prioritising projects through a combination of factors embracing condition, sufficiency, suitability and property performance;

☐ managing the process of consultation and determination of priorities with a range of external partners possibly through the use of electronic scheduling and calendar systems;

☐ storing data that will be needed by the DfEE.

11. Where an Authority decides to install a new system, it should consider whether to adopt a modular approach to development and deployment. Taking on too much initially is likely to create tensions within an organisation and stretch resources, particularly where systems do not exist already.

Property information

12. At the heart of the AMP will be a premises register that contains detailed elemental data on a range of entities including sites, establishments, buildings, building elements and rooms. Some of this information will be static data that changes only rarely. Some will change more frequently. It is important for the system to hold associated start and end dates for data elements that can change, covering the period of the validity of that data.

Condition survey information

13. The premises database will contain the required building elements and their sub-elements (see AMP Guidance: Section3) to enable the recording and tracking of

condition survey information. The system should be capable of providing a history of the individual assessements for each element and sub-element. Where there is a change in condition that occurs sooner than expected, the causes of this may need to be recorded.

Benchmarketing and assessment module

14. The AMP property information system may also provide facilities for benchmarking, or providing baseline comparisons. If so, the system should be capable of importing and storing a unique but named profile of national performance indicators. Through basic reporting tools, it should be able to compare individual schools with Authority benchmarks, and Authority data against national indicators.

15. The AMP property information system could, for example, store the core floor area data to enable comparisons between recommended and actual floor areas to inform debate on sufficiency and suitability of premises. If so, it should be capable of importing recommended norms of sufficiency as set out in the Education (School Premises) Regulations 1999 and DfEE design guidance.

16. As part of assessment, it should be possible to group items within a premises register together to enable comparisons to be made between establishment types. The system should be capable of allowing groups to be defined for a specific purpose (for example, all primary schools) or for a one-off exercise (for example, to group together schools for a specific capital project, or scheme).

TECHNICAL CONSIDERATIONS

Integration of computer aided design and geographical data

17. As Computer Aided Design (CAD) is being used increasingly for new school projects, the Authority should consider whether any new AMP information system is able to read files from CAD pacakages in 'dxf' format. Authorities may consider that it is important to integrate CAD data into the AMP information system since CAD use will almost certainly increase in coming years.

18. Integration of Ordnance Survey data may also be considered in developing the system. Ordnance Survey provides a range of datasets to Local Authorities through a service level agreement. Authorities would then have access through the system to digital maps, address data and network information such as roads and highways. Such data could be used for analysis and for graphical representations to help summarise complex projects for different audiences.

19. Geographical Information Systems (GIS) are an emerging tool to support Local Authority responsibilities. GIS allows the manipulation of data in relation to a geographical area. It would enable, for example, schools to be benchmarked across different wards, boundaries and development areas.

Data reporting: integration with word processors and spreadsheets

20. It is essential that information can be extracted easily from the AMP information system. Authorities will expect to define a range of reports and returns that they would require as part of the initial system. However, day-to-day operation will inevitably result in a demand for information and reports that could not be foreseen.

21. Databases typically employ a query language to enable extraction of data from a system. Structured Query Language (SQL) is a recognised standard used in many systems. There may also be proprietary extensions to particular databases to enable non-standard queries to be developed, although these are likely to require technical knowledge and skills that may be beyond the scope of individual services.

22. It is important, therefore, that Authorities consider how management information could be extracted and the range of different systems that would enable this to be done. The market for data manipulation utilities is extensive. Many products can generate queries across multiple databases and formats, using English-like syntax. Most will provide the facility to extract data and automatically integrate it into word processing and spreadsheet packages.

Database selection

23. The volume of data held within a property information system could be substantial and the effective extraction and manipulation of informaiton will be a critical element in decision making. It is likely that the data is best stored in a computerised database rather than individual spreadsheets. Functions such as transaction logging, automatic recovery and sophisticated indexing will reduce the business risk of systems failure. These functions will protect the substantial investment of time and other resources, help to establish the core data and keep it up to date. Before selecting a database, it is important to consider:

☐ the number of users and the functions required. The larger the system, the more complex the underlying database management facilities will need to be. For small networked systems, simple databases are likely to be sufficient. Where the system is likely to develop to include services and organisations, the database engine should be based on a product such as SQL-Server which has greater potential for expansion;

☐ the way in which textual information within the database can be linked to non-textual data such as maps and CAD drawings. This is highly technical work that may need to be addressed through the use of an external consultant;

☐ the range of skills within the organisation to support the platform that is used. Although systems are becoming simpler to use and manage, it is important that technical support and development skills can be accessed cost effectively. Many Authorities will have a database standard and should have the skills to support it.

24. The system is likely to evolve and change substantially over time. It is important for Authorities to clarify what the product maintenance charges cover before purchase. It is also essential that intellectual property rights and arrangements for future changes to the system are taken into account. Some Authorities may invest in a product that could be of benefit to other Authorities. They may then seek reduced maintenance charges from the supplier in exchange for the supplier being allowed to release the product more widely.

System access and usability

25. Access will be a critical dimension of the technical work that will inform decisions on the property information systems that are used. Access may be considered at many levels.

26. A system may perform inadequately when it is not intuitive to use, or where it involves extensive re-keying of data, or where it cannot easily communicate with other systems. Any new property information system should have the capability to communicate with mobile computer systems, where they are used. These mobile systems are increasingly used by consultants, architects and service engineers to record important data that can later be uploaded into a larger system. The effective design of data capture screens is important to facilitate the fast transfer of data. Again, users will be put off by systems that have clumsy interfaces and which are difficult to interact with.

27. A range of users are likely to require access to the system, not all of whom will work for education departments. Some Authorities may be considering access by schools. The AMP information system should therefore have the capability to enable networked access from a central server. The number of users, in both overall terms and the likely number using it at any one time, is important as it will influence decisions on the expandability of the underlying database system.

28. It should also be possible to link the data contained within the system to the Internet, as this will probably be the main access route for schools. They might interact with it in a variety of ways. For example, schools may use it to get summaries of data on their premises, or use it to send completed electronic returns to help the Authority in its AMP monitoring role. Access via the Internet is likely to be facilitated through the Authority Intranet that will provide security. This may be part of the NGFL planning that is already underway in many Authorities.

Security

29. Give the importance of any system used to support the AMP, it is essential that security is managed appropriately. Loss or misuse of data or inappropriate access to data could undermine confidence in the system. At a basic level, there should be a system supervisor who would assign access rights to users. It is often helpful if users are grouped together so that a common set of privileges can be assigned to them. Access to the system should be secured through a logon screen that will determine the areas of the system that the user is able to view. It will also determine the rights to make changes and alterations to the data contained in the system. Ideally, it should be possible to enforce business rules on the data. For example, a school should not be able to access data on another unless this is allowed for reasons of transparency. Control of the data layers within the system may also be an issue that requires consideration. Some information, for example, on pupil admissions, or relating to building condition, should be able to be changed only by those responsible for creating it.

PART 2:
SCHOOL PREMISES DATA

30. Adequate premises data on all schools in an Authority's area is central to the development of AMPs. This will include information on the location, ownership, size, type and condition of buildings, the number of pupils and running costs. Many Authorities, dioceses and schools will already have some of this informaton in the form of land terriers[1], asset registers[2] and premises databases. Where key information is lacking, Authorities may wish to commission the work to obtain it, with the cost being justified in terms of the contribution it will make towards decision-making. It is essential, however, that in gathering data, clear priorities are identified at the earliest stage in order to concentrate on gathering the minimum of information for maximum usefulness.

31. School premises data that Authorities would want to have available can be categorised as:

☐ basic information about schools, i.e. names, locations, ownership, etc.;

☐ data that will be used for benchmarking i.e. energy, water and maintenance costs etc.

Each Authority must decide the scope and the detail of the informaiton that it collects and keeps in databases for AMP purposes.

DfEE AMP DATA REQUIREMENTS

32. Section 1 of this guidance outlined the DfEE's proposals for appraising AMPs. To help inform this process, the DfEE will ask Authorities to update and provide annually, for each school in their area, sub-sets from the two data categories mentioned above. These are (see Annex A for definitions of terms):

Basic factual data:

☐ DfEE School Number;

☐ School name;

☐ Number of sites on which school is located;

☐ Number of blocks forming part of the school buildings;

☐ Gross Internal Area;

---

[1] Legal record of land holdings and use, kept by Local Authorities.

[2] The Chartered Institute of Public Finance and Accountancy (CIPFA) has identified the development and maintenance of comprehensive asset registers as best practice across the Local Government Sector. See CIPFA's publication *Asset Registers - A Guide for Public Services*.

☐ Teaching Area;

☐ School Site Area;

☐ Playing Field Area;

☐ Team Game Playing Field Area;

☐ Whether or not the school has a swimming pool.

(all areas should be in m^2)

Total annual energy and water consumption data, stating the financial year to which the data relates:

☐ solid fuel, cost and kwh;

☐ piped gas, cost and kWh;

☐ oil, cost and kWh;

☐ electricity, cost and kWh.

☐ water, cost and m^3.

Costs should include delivery and standing charges. Water costs should include water supply, foul water/sewerage and surface water drainage charges.

The DfEE will use the basic factual data to help inform the national view of the sufficiency of the school stock. It will use the energy consumption data to monitor the performance of the schools sector in relation to planned reductions in carbon dioxide emissions. The water consumption data will be used in developing benchmarks, to help reduce water consumption and leaks.

33. Separate data requirements, relating to the condition and suitability of school premises, are given in Sections 3 and 4 of the guidance. The DfEE may need to request other data, as appraisal needs develop over time.

Communications with the DfEE

34. Separate guidance has been issued regarding the transmission of data to the DfEE.

ANNEX A: DEFINITIONS

DfEE School Number. As used on Form 7.

Gross Internal Area. The floor area of the school buildings, (as defined in the Education (School Premises) Regulations 1999), measured over internal walls, stairs and lift wells, to the internal face of external walls. Measurement should be in accordance with the fourth edition of the Code of Measuring Practice, published by the Royal Institution of Chartered Surveyors.

Teaching Area. The area available for teaching in the school buildings (as defined above), even if the space is not currently in use. For secondary schools, this is the area used in assessing the MOE capacity of buildings, except that actual areas of large spaces should be included, even where in excess of 240m^2. For primary schools, the area should be measured in the same way as secondary schools.

Playing Field Area. The area of land for which any disposal or change of use would be subject to approval by the Secretary of State in accordance with Section 77 of the School Standards and Framework Act 1998.

Team Game Playing Fields Area. The area as defined in the Education (School Premises) Regulations 1999. That is 'so much of an outdoor area provided for physical education as, having regard to its configuration, is suitable for the playing of team games and which is laid out for that purpose.' All-weather surfaced areas should not be counted twice in calculating the area of Team Game Playing Fields. The actual area should be given.

ANNEX B: REFERENCES

PROPERTY INFORMATION GUIDES

CIPFA **Asset Registers: A Guide for Public Services.** CIPFA Publications 1997.

CIPFA **Capital Accounting by Local Authorities: People + Pounds + Property = Services.** CIPFA Publications 1998.

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Asset Management Plans

Section 3: Condition Assessment

Local Education Authorities, Schools & Dioceses

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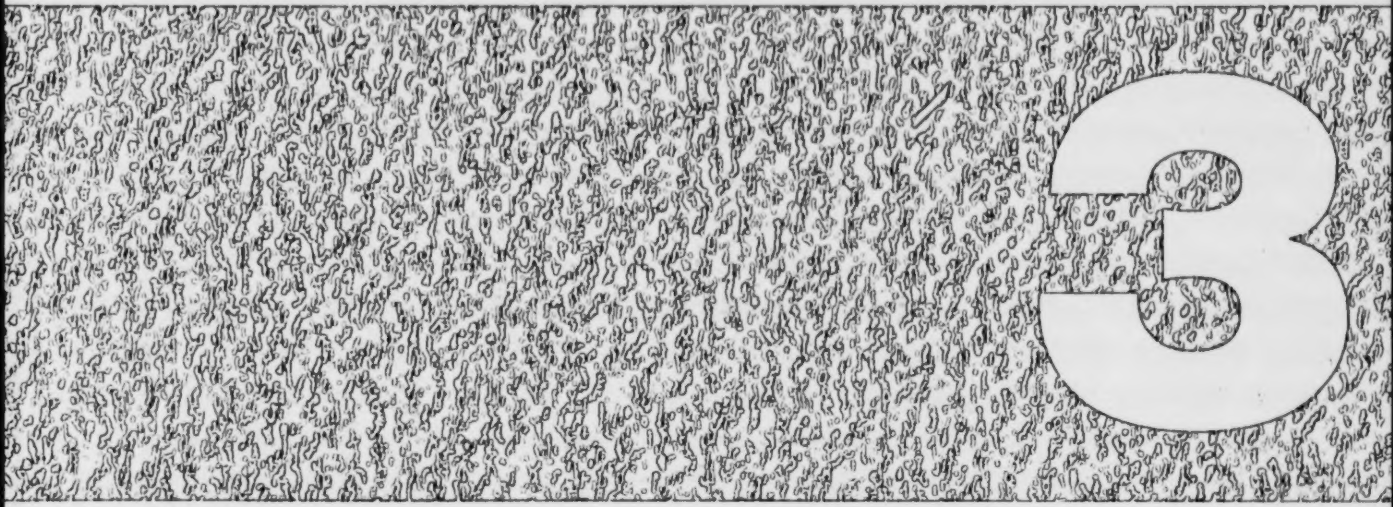

Full text available at:
http://www.dfes.gov.uk/amps/section3.shtml

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ASSET MANAGEMENT PLANS

SECTION 3: CONDITION ASSESSMENT

First issued in February 1999, incorporating revisions in respect of:-
amendments notified in letter of 15 September 1999 to Authorities;
updated references to other AMP guidance;
minor formatting amendments.

April 2000

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INTRODUCTION

Background

1. Provisional Guidance on Asset Management Plans (AMPs) was published by the DfEE in August 1998. This was reviewed in the light of subsequent consultations with Local Education Authorities (Authorities) and other interested parties. The review identified the need for a number of revisions which have been incorporated in guidance notes. This is the third section in a series and deals with condition assessment. The other sections are:

☐ Section 1: Framework

☐ Section 2: Property Information Systems and School Premises Data

☐ Section 4: Suitability Assessment

2. Further guidance will be issued regarding sufficiency assessment and appraisal of AMPs.

About this Section

3. This third section offers non-statutory guidance on a framework for assessing the condition of school premises. Adoption of this framework will help to ensure national consistency as Authorities develop their AMPs over time and facilitate the appraisal of AMPs by the DfEE.

4. This guidance does not deal with the practical aspects of premises inspection, data collection and analysis, or of maintenance management. Advice on these aspects can be obtained from Authority property departments and/or professional consultants. Annex F refers to published guidance on this subject that may be helpful.

5. The condition data required by the DfEE to help it appraise AMPs is shown in Annex A.

CONDITION ASSESSMENT

6. Establishing the condition of all school premises within each Authority is necessary to enable repairs and maintenance works to be costed, prioritised and planned. The information will help to inform strategic decisions on larger scale programmes of repair, replacement or improvement of premises, whether by traditional or Public Private Partnership, (PPP), procurement routes. This in turn will enable resources to be targeted where they are most needed and reduce the effects of unsatisfactory premises on pupils' education.

CONDITION SURVEYS

7. Condition surveys provide a systematic, uniform and objective basis for getting information on the state of premises. (Information can also be collected, however, in more ad hoc ways as part of other inspections, ongoing maintenance work, etc.) The surveys should identify the work necessary to bring premises up to a serviceable state of repair and to rectify breaches of legislation. Once in a serviceable state, only routine maintenance should be required, which can be carried out under a pre-planned programme.

8. When surveys are carried out and regularly updated for all or most of the stock, the condition of different premises can be compared to see how this changes over time. From this information, it should be possible to identify those elements or components that give cause for particular concern because of widespread or worse than average deterioration. This may indicate where a co-ordinated programme of repair or renewal is required. The information should also inform future design decisions and selection of materials.

9. Authorities will be responsible for monitoring the funding and management of governing body repair programmes. Condition surveys should cover work in these programmes and Authorities should consider whether it needs to be identified separately in survey reports.

10. Surveys should cover five year planning periods for the purpose of AMPs. Surveys may, however, also be used for other purposes, such as the bases for investment appraisals and in such cases will need to look further ahead. Surveys should be updated annually, to take account of changing needs and priorities.

Carrying out condition surveys

11. As the owner of the premises, the Authority's property officers, or their consultants, are likely to carry out the condition assessments of Community schools. They may also undertake assessments for Voluntary and Foundation Schools; alternatively, these may be undertaken by consultants directly appointed by the governors (or dioceses/trustees in the case of Voluntary Schools). All assessments, however, should make reference to the Authority's classification system to demonstrate that similar judgements are being made about condition and priorities.

General scope and coverage of condition surveys

12. Condition surveys are normally non-intrusive. However, they should be sufficiently thorough as to identify the need for any further surveys or tests. The results of such further surveys or tests should be taken into account in the condition assessment.

Assessing condition to provide information for AMP appraisal purposes

13. Surveys should cover all school buildings and external areas on the site. Each block should be kept separate in the survey report and referenced A,B,C, etc. Where a building includes one or more extensions of different ages, or types, it may be appropriate to treat the extensions as separate blocks, despite the fact that they are part of the same building.

14. External areas and playing fields should not be sub-divided between blocks. They should be kept separate for each site of split-site schools.

14a. Where a building or site is shared between schools, there may be a separate survey for each school or, subject to the agreement of all the sharing schools, a joint survey. Where separate surveys are carried out, there should be clear demarcation between them, so as to avoid duplication. Where a joint survey is carried out, the same condition data would be supplied to the DfEE for each of the schools, subject to the apportionment of costs referred to in paragraph 29.

14b. Where a building or site is shared with other organisations, the survey should cover only the areas for which the school has a maintenance responsibility.

15. Premises should be assessed, block by block, element by element, to collect information on:

- ☐ building type;
- ☐ gross internal area;
- ☐ existing condition;
- ☐ priortiy;
- ☐ cost to repair or renew.

These aspects are discussed in more detail below.

Premises elements

16. The table in Annex B shows a classification system for the major elements of premises and their constituent sub-elements. Sub-elements are shown in order to define the scope of each major element. It will be for Authorities to determine the most appropriate classification system for sub-elements, subject to the scope of each major element being as shown in the table. Only details in respect of the major elements will be required by the DfEE for AMP appraisal purposes.

Premises types

17. Premises should be classified in survey reports as follows:

I. Pre-1919.
II. Inter-War.
III. From 1945 to 1966.
IV. From 1967 to 1976.
V. Post-1976.
VI. Temporary premises.

Gross internal area

18. The floor area measured in m² of each block (including temporary and relocatable accommodation) measured over internal walls, stairs and lift wells, to the internal face of external walls. Measurement should be in accordance with the fourth

edition of the Code of Measuring Practice, published by the Royal Institution of Chartered Surveyors.

Existing condition Grading

19. The condition of each element should be assessed, using the following recommended grades:

☐ **Grade A** - Good. Performing as intended and operating efficiently.

☐ **Grade B** - Satisfactory. Performing as intended but exhibiting minor deterioration.

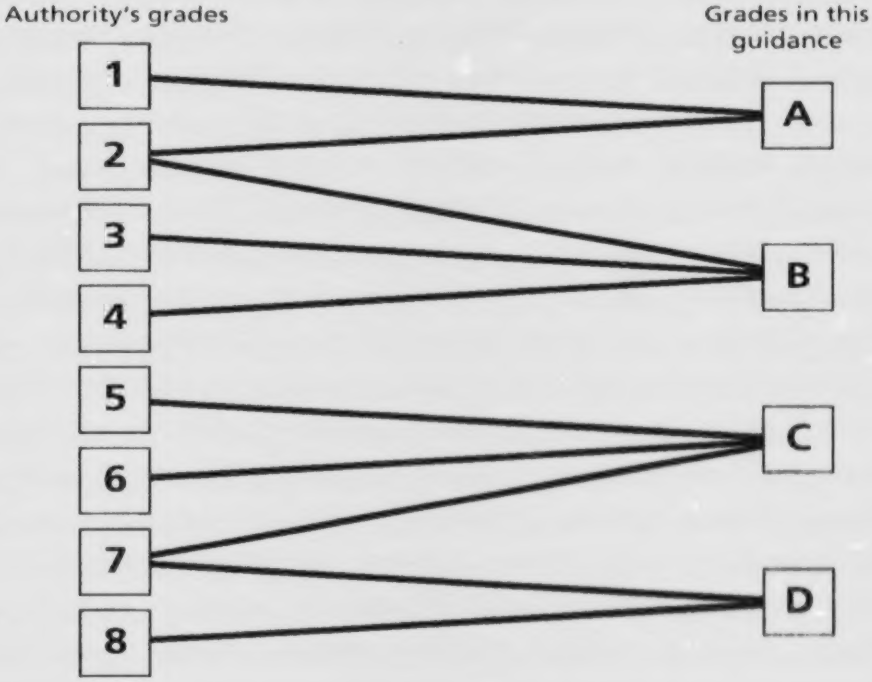
☐ **Grade C** - Poor. Exhibiting major defects and/or not operating as intended.

☐ **Grade D** - Bad. Life expired and/or serious risk of imminent failure.

20. Examples of the application of these grades to specific elements are given in Annex C.

21. Where surveys have been carried out using different grading systems, the grades should be assigned to the nearest grades in this guidance. For example, a system with eight condition grades could be assigned as indicated in Box 1.

Box 1: Assignment of Condition Grades



Priority grading

22. Once the condition of premises has been assessed, priorities should be allocated according to the seriousness of the condition revealed and the urgency associated with any breaches of legislation. This should have particular regard to the possible consequences of deferment.

23. The following priority grades are recommended in the context of a five year planning period:

☐ **Priority 1.** Urgent work that will prevent immediate closure of premises and/or address an immediate high risk to the health and safety of occupants and/or remedy a serious breach of legislation.

☐ **Priority 2.** Essential work required within two years that will prevent serious deterioration of the fabric or services and/or address a medium risk to the health and safety of occupants and/or remedy a less serious breach of legislation.

☐ **Priority 3.** Desirable work required within three to five years that will prevent deterioration of the fabric or services and/or address a low risk to the health and safety of occupants and/or remedy a minor breach of legislation.

☐ **Priority 4.** Long term work required outside the five year planning period that will prevent deterioration of the fabric or services.

24. Examples of the application of this priority classification are given in Annex D. Annex E lists some of the legislation and guidance that may need to be taken into account in determining priorities.

25. An element graded Condition D will not always warrant Priority 1. There may be instances where an element is in poor condition, but for which maintenance work is not a high priority. The reverse may also be the case. The following table shows some such examples.

Element	Condition	Priority*	Element
External walls, widows and doors	**D**	**4**	External cladding of mobile building badly decayed and beyond economic repair. The building, however is not now in use and will be shortly replaced as a part of a redevelopment scheme. It is therefore low priority.
Internal walls, and doors	**B**	**1**	Internal walls and doors in this example are generally in satifactory condition, but some glazing breaches legislation and is a hazard. There is no serious dilapidation, but removing the hazard is a high priority
Electrical services	**A**	**1**	Electrical services in this example are in good condition, but lack of earthing provision breaches legislation and is a hazard. There is no serious dilapidation, but removing the hazard is a high priority

* Priority of the most urgent maintenance work in the element.

26. Where surveys have been carried out using different priority grading systems, the grades should be assigned to the nearest grades in this guidance.

Cost to repair or renew

27. An estimate should be made at the time of assessment of the cost of repairing or renewing a defective element. These costs should be for bringing the element up to Grade A condition. Costs should include preliminaries, contingencies and professional fees, but not VAT. The estimates should not include for upgrading specifications to current standards, except where the existing specification is no longer available or would breach legislation. Minor day-to-day maintenance (e.g. replacement of locks, broken glass, tap washers, etc.) and minor routine works (e.g. inspection, testing, cleaning, servicing, adjusting, overhauling etc.) should be excluded.

28. It may be that alternative solutions to straightforward repair or renewal might offer better value-for-money, e.g. the scope for wider-scale refurbishment,

adaptation, or rationalisation. There may also be the opportunity to address at the same time suitability or sufficiency objectives, possibly through a PPP approach. However, these alternative solutions should be considered with sufficiency and suitability assessments, the condition assessment being limited to straightforward repair or renewal.

29. Where elements or parts of premises face future redevelopment, disposal or demolition, only the minimum maintenance necessary to comply with health and safety or to keep the premises operational might be justified.

29a. Where a building or site is shared between schools and a joint condition survey is carried out, the estimated costs of repair or renewal for each school should be a portion of the total, the apportionment being on the basis of agreement with all the sharing schools.

29b. Where maintenance costs are shared with other organisations, the estimated costs should be the portion for which the school is responsible.

ANNEX A: CONDITION DATA TO BE SUPPLIED TO THE DFEE

DfEE Proposals for appraising Authority AMPs are set out in Section 1 of this series of guidance notes. Amongst the outputs of AMPs will be measures of the performance of Authorities' repair and maintenance programmes, in terms of improvements over time in the general standard of condition and in reductions in the maintenance backlog. To help the DfEE to appraise AMPs in these respects, Authorities will be asked to provide the condition assessment information specified below. An example of specimen data in tabular form is shown at the end of this Annex. Separate guidance has been issued for the transmission of data to the DfEE.

Condition data to be supplied to DfEE

☐ DfEE school number.

☐ Date of survey.

For each block:

☐ Site reference.

☐ Block reference.

☐ Premises type (1).

☐ Gross internal area in m^2 (2).

For each major element of each block (3).

☐ Condition category (4).

☐ Value of Priority 1 work (5).

☐ Value of Priority 2 work (5).

☐ Value of Priority 3 work (5).

Notes:

(1) See paragraph 17.

(2) See paragraph 18.

(3) See paragraph 16.

(4) A major element may cover a number of sub-elements of varying condition grades. In such cases, surveyors will need to make a judgement on the grading of the major element that reflects the average of the sub-element grades. (An 'A' graded major element may, for example, include sub-elements with 'B' to 'D' grades.)

(5) Only Priority 1-3 costs should be provided to the DfEE; Priority 4 costs lie outside the five year AMP planning period. The date on which pricing is based should be stated.

Condition data to be supplied to the DfEE - specimen data.

DfEE school number	1234
Survey date	Jan 99
Survey pricing base date	Jan 99

Site reference	1	Site reference	1
Block reference	A	Block reference	B
Gross internal area (m^2)	500	Gross internal area (m^2)	800
Premises type	II	Premises type	III

Element	Condition category	Priority 1 work (£)	Priority 2 work (£)	Priority 3 work (£)	Condition category	Priority 1 work (£)	Priority 2 work (£)	Priority 3 work (£)
1. Roofs	C		5,000	2,000	D	18,000		
2. Floors and stairs	A			200	B			2,500
3. Ceilings	B			1,000	A			
4. Ext'l walls, windows and doors	B		10.000		B			18,000
5. Internal walls and doors	D	1,500			B		2,200	
6. Sanitary services	A				A			
7. Mechanical services	A			50	C		7,500	
8. Electrical services	B		2,000	5,000	B			3.500
9. Redecorations	C		3,000		A			
10. Fixed furniture and fittings	B			1,800	B		1,500	

Site reference 1

	Condition category	Priority 1 work (£)	Priority 2 work (£)	Priority 3 work (£)
11. External areas*	B			2,000
12. Playing fields*	B			1,500

*sub-divided between sites, but not between blocks

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ANNEX B: CLASSIFICATION OF PREMISES ELEMENTS

Major element	Sub-element	
1. Roofs		
	Flat roofs	
		Structure
		Coverings and insulation
		Drainage
		Other
	Pitched roofs	
		Structure
		Coverings and insulation
		Drainage
		Other
2. Floors and stairs		
	Ground floor	
		Structure
		Screed and finish
	Upper floors	
		Structure
		Screed and finish
	Staircases	
		Structure
		Treads and risers
		Soffit finish
	Other	
3. Ceilings		
	Ground floor	
	Upper floors	
4. External walls, windows and doors		
	Walls	
		Structure
		External linings/finishes
		Internal linings/finishes
	Windows and doors	
		Framing
		Glazing
		Ironmongery
5. Internal walls and doors		
	Walls and partitions	
		Structure
		Linings/finishes
	Doors and glazed screens	
		Framing
		Glazing
		Ironmongery
6. Sanitary services		
	Toilets	
		Fittings
		Waste plumbing
	Kitchens	
		Fittings
		Waste plumbing
7. Mechanical services		
	Heat source and equipment	
	Heating	
		Distribution
		Controls
	Hot and cold water	
		Storage tanks and equipment
		Distribution
	Gas distribution	
	Ventilation	
	Air conditioning	
	Other	
8. Electrical Services		
	Control gear	
	Power	
		Wiring
		Fittings
	Lighting	
		Wiring
		Fittings
	Fire Alarms	
	Intruder Alarms	
	Lightning protection	
	Communications systems	
	Lifts and hoists	
9. Redecorations		
	External	
	Internal	
10. Fixed furniture and fittings		
	Teaching	
		Science
		Technology
		Other
	Non-teaching	
		Kitchen
		Other
11. External areas		
	Roads and car parks	
	Paths and pedestrian paved areas	
	Soft landscaping	
	Walls, fences and gates	
	Ancillary premises	
	Outdoor swimming pools	
	Drainage	
	Mains Services	
12. Playing fields		
	Generally	

ANNEX C: EXAMPLES OF APPLICATION OF CONDITION CLASSIFICATION

EXAMPLE 1 - FLAT ROOF

Condition	Grade
Watertight, no visible defects.	A
Reasonably sound, only routine maintenance required.	B
Significant deterioration, subject to leaking.	C
Extensive problems, severe water penetration; cannot be maintained effectively.	D

EXAMPLE 2 - HEATING BOILER

Condition	Grade
Good working order.	A
Operating efficiently, some minor repairs anticipated.	B
Subject to breakdown.	C
Permanent failure probable.	D

EXAMPLE 3 - ELECTRICAL WIRING

Condition	Grade
In good order.	A
Operational, but minor repairs anticipated.	B
Problems evident, frequent testing needed.	C
Tests confirm major failure probable.	D

ANNEX D: EXAMPLES OF APPLICATION OF PRIORITY CLASSIFICATION

Priority 1.

☐ Unsafe premises, or parts of premises, that are cordoned off or shored up and require urgent attention; accommodation already out of use or likely to be soon out of use.

☐ Ground problems, such as mine shafts, wells, major faults in ground; premises shored up; external areas cordoned off; accommodation already out of use or likely to be soon out of use.

☐ Condemned temporary premises already out of use or likely to be soon out of use.

☐ Obsolete heating boilers that have failed or which are likely to fail and for which no components are available.

☐ Presence of friable asbestos.

Priority 2.

☐ Roof repairs where patching is no longer possible; windows, doors and curtain walling that are prone to severe water penetration and have severe rot, decay or rusting.

☐ Less urgent problems with the mechanical and electrical services, e.g: lead drinking water pipework, corroded water tanks, electrical installations with vulcanised india rubber cabling; unearthed systems where test period has been reduced because of previous failures (one year or less). Work will require an engineer's or Health and Safety inspector's report as evidence of risk.

☐ Playgrounds that pose health and safety risks, especially at Primary Schools; defective floor finishes in high risk areas such as gymnasia or staircases.

Priority 3.

☐ Defective mechanical and electrical services, e.g: inefficient boilers towards the end of their expected lives; replacement of old lighting circuits that are no longer suitable and provide poor task lighting; works to resolve fire alarm deficiencies.

☐ Repairs within the life of the Plan, including works to defective playgrounds, tennis courts and floor finishes that may remain a health and safety issue.

Priority 4.

☐ Minor re-pointing works to masonry or where there is limited erosion to the face of brickwork that is unlikely to deteriorate further over the life of the Plan.

☐ Minor damage or decay to timber and metal surfaces.

☐ Repairs and decorations that are likely to be carried out beyond the time-scale of the Plan, the priority and condition of which will be considered at the review dates.

ANNEX E: LEGISLATION AND CODES OF PRACTICE

This list aims to refer to the most useful documents. It does not necessarily cover all regulations, codes of practice, or guidance that may relate to buildings and equipment, specialist facilities, services or the management of schools.

Workplace (Health Safety and Welfare) Regulations 1992. Supported by approved Code of Practice and Guidance L24. The Regulations cover welfare facilities for people at work and maintenance of the workplace.

The Education (School Premises) Regulations 1999. Setting out minimum standards for both existing and new premises.

DfEE Constructional Standards 1997. Applying to new school buildings and to construction work within existing buildings. They endorse the current Approved Documents to the Building Regulations 1991, except in respect of variations to:

- ☐ Part B - Variations to fire precautions and means of escape;
- ☐ Parts E,F, and L - Replaced by Building Bulletin 87 (see below);
- ☐ Part K - Variations to stairs and ramps;
- ☐ Part M - Variations to facilities for disabled people.

These standards were issued with a DfEE letter dated 19 September 1997, sent to Chief Education Officers, Diocesan Boards of Education and Grant Maintained Schools. Copies of this letter can be obtained from the DfEE by contacting the enquiry number shown at the back of this publication.

Guidelines for Environmental Design: Building Bulletin 87. Augmenting the School Premises Regulations with practical guidance to meet those standards. In certain areas, the Bulletin specifies higher standards than the Building Regulations. It covers acoustics, lighting, heating and thermal performance, ventilation, hot and cold water supplies, and energy (CO_2) rating.

Health and Safety. Other Health and Safety legislation, Codes of Practice and guidance includes the following:

- ☐ The Mangement of Health and Safety at Work Regulations 1992, amendments 1994, supported by approved Code of Practice L21.
- ☐ The Control of Substances Hazardous to Health Regulations 1994.

☐ Health and Safety Guidance for Schools 1989 (COSHH).

☐ Approved Codes of Practice 1995 (COSHH).

☐ Electricity at Work Regulations 1989.

☐ Health and Safety Guidance Note (Electrical Safety in Schools).

☐ IEE Wiring Regulations 1991 (BS 7671).

☐ The Gas Safety (Installation and Use) Regulations 1998.

☐ Guidance Note on Gas Safety in Educational Establishments. Published by DES and British Gas 1989.

☐ The Control of Asbestos at Work Regulations 1996.

☐ The Health and Safety (Safety Signs and Signals) Regulations 1985.

☐ The Education (Schools and Further and Higher Education) Regulations 1989.

☐ The Fire Precautions Act 1971.

☐ The Fire Precautions (Workplace) Regulations 1997.

☐ The Construction (Design and Management) Regulations 1994 (CDM).

☐ The Construction (Health Safety ad Welfare) Regulations 1996.

☐ The Food Safety (General Food Hygiene) Regulations 1995.

☐ Environmental Protection Act 1990.

☐ Provision and Use of Work Equipment Regulations 1992.

☐ The Health and Safety (Display Screen Equipment) Regulations 1992.

☐ Personal Protective Equipment at Work Regulations 1992.

☐ The Manual Handling Operations Regulations 1992.

☐ Occupiers Liability Acts 1957 and 1984.

☐ The Health and Safety at Work Act 1974, etc..

☐ Model Water Bylaws 1986.

☐ BS 6262 1982 Code of Practice for Glazing in Buildings.

ANNEX F: REFERENCES

Condition assessment

Department for Education and Science **Design Note 40: Maintenance and Renewal in Educational Building: Needs and Priorities,** 1985.

Pillar Consultancy for Department of Education and Science **Methodology of Buildings Condition Surveys,** 1993. Available from Pillar Consultancy, Pillar & Lucy House, Merchants Road, Gloucester, GL1 5RG. Tel: 01452 525241.

Buildings Maintenance Information Ltd **Special Report: Condition Surveys.** Available from 12 Great George Street, London SW1P 3AD Tel: 020 7222 7000.

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Asset Management Plans

Section 4: Suitability Assessment

Local Education Authorities, Schools & Dioceses
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4

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ASSET MANAGEMENT PLANS

SECTION 4: SUITABILITY ASSESSMENT

First issued in September 1999, incorporating revisions in respect of:-
correction of printing errors in Annexes A-C;
updated of references to other AMP guidance;
minor formatting amendments.

April 2000

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INTRODUCTION

Background

1. A Suitability Assessment Consultation Paper was published by the DfEE in May 1999. This is the fourth Section of Asset Management Plans (AMPs) guidance in a series and is based on a review of that Paper, taking account of responses to the consultation. The first three Sections are:

☐ Section 1: Framework

☐ Section 2: Property Information Systems and School Premises Data

☐ Section 3: Condition Assessment

2. Further guidance will be issued on sufficiency assessment, implementation and appraisal of AMPs.

About this Section

3. This fourth Section offers non-statutory guidance on a framework for assessing the suitability of school premises. Adoption of this framework will help to ensure national consistency as Local Education Authorities (Authorities) develop their AMPs over time and will facilitate the appraisal of AMPs by the DfEE.

4. The suitability data requested by the DfEE to help it appraise AMPs are shown in Annex C.

OVERVIEW

Objectives of assessment

5. The framework described in this guidance provides a standardised and objective basis for assessing suitability which may be used by Authorities and schools to inform decisions on local spending priorities. In conjunction with sufficiency and condition assessments, suitability assessments will help in the targeting of resources where they can have the greatest effect in raising standards and maximising value for money. The assessments will help in identifying any need for additional accommodation and for improvements to, or removal of, existing accommodation. Data from the assessments will complement existing benchmarking systems and provide managers with a sense of how buildings perform in comparison with Authority-wide and national indicators.

The relationship of suitability to sufficiency and condition

6. For the purpose of this framework, suitability is defined as how well premises meet the needs of pupils, teachers and other users, and contribute towards raising standards of education. Suitability assessments are concerned with numbers and characteristics of each type of internal space and external area. Assessments also deal with some aspects of health and safety requirements. The total space needs indicated by suitability assessments should be reviewed against sufficiency assessments.

7. Sufficiency assessments focus on total areas, and on the quantity and organisation of pupil places within and across schools in relation to demand.

8. Condition assessments focus on the physical state of building elements and provide a basis for developing planned maintenance programmes. They also cover some aspects of health and safety requirements.

9. Table 1 lists the various aspects of suitability, sufficiency and condition.

Table 1 - Summary of the elements of AMP assessment

	Sufficiency	Suitability	Condition
Physical capacity	✓		
Overall area of building	✓		
Internal spaces			
Number		✓	
Size and other characteristics		✓	
Overall area of site	✓		
External areas			
Area		✓	
Other characteristics		✓	
Health and safety requirements			
Building/site layout		✓	
Other			✓
Condition			✓

10. Economic appraisal, which is integral to all three strands of assessment, is referred to in paragraph 25.

Application of suitability assessment

11. This framework is intended to be applicable to all types of school: nursery, primary, middle, secondary, special, and pupil referral units. It covers the following aspects of teaching and non-teaching accommodation (including staff facilities):

☐ number, size, shape and location of spaces;

☐ environmental conditions;

☐ fittings and fixed furniture;

☐ information and communications technology (ICT) infrastructure;

☐ health and safety/security issues.

12. The assessments are carried out on individual internal spaces and external areas. Residential accommodation and community facilities are assessed separately.

13. It is desirable that assessments should be carried out for all schools. However, Authorities may decide that with limited resources the initial focus has to be in identifying those schools with the greatest suitability problems. In this case, Authorities should supply general guidance to schools, based on their Local Policy Statements, as to the categories of suitability improvement work that are likely to be supported. Although all schools should be offered assessments, schools may opt to defer them if the guidance indicates that there is little chance of funding support. It may not be appropriate to defer assessments where there are significant

mismatches between pupil numbers and physical capacity, or where floor areas per pupil are particularly low/high. For schools where significant maintenance projects are planned, suitability assessment should first be carried out to determine whether there is a case for tackling the suitability problems at the same time.

Method of assessment

14. The method of assessment aims to identify accommodation problems relating to the aspects referred to in paragraph 11 which have a significant impact on curriculum delivery and other school operations, thereby affecting educational attainment. Assessments are carried out for individual schools and are in two stages.

☐ Stage 1 (see paragraphs 26-46) involves a room-by-room survey of those spaces where there are considered to be problems. Details are recorded using the Suitability Survey Form shown in Annex A.

☐ Stage 2 (see paragraphs 47-60) involves completion of the Summary Assessment Form shown in Annex B, using information from the Stage 1 survey and from analysis of numbers and sizes of spaces. This analysis will also inform the survey and Authorities and schools may alternatively opt to complete this analysis before undertaking the Stage 1 survey.

15. The examples of Forms in the Annexes are illustrative. Working versions in spreadsheet format are available from the DfEE web site at www.dfee.gov.uk. It is intended that there should be flexibility in the way the Forms are applied. Subject to compliance with the DfEE data requirements set out in this guidance and to consistency being maintained, Authorities and schools may opt to amend the layout of the Forms to suit local requirements. For example, additional data may be collected, or the layout may be adapted to suit electronic data collection and processing.

Roles and responsibilities

16. This framework envisages the involvement of Authorities, Dioceses and schools. This should help ensure that assessments are transparent and that the outputs are seen to be fair. Schools will probably take the lead in carrying out the qualitative aspects of the process, particularly judgements about the effect of the accommodation on curriculum delivery. Authorities will have a role in advising on the more quantifiable aspects, including assessments of the appropriate numbers and sizes of spaces, environment, health and safety issues, etc. Authorities will be responsible for co-ordinating and managing surveys and for moderating assessments between schools, to ensure local consistency and fairness.

Authorities will also be responsible for disseminating analyses of suitability data to support local benchmarking initiatives and for making data returns to the DfEE. Authorities and denominational schools will wish to reinforce local partnerships by drawing on the experience and expertise of Diocesan Building Officers in carrying out suitability assessments, for example, in co-ordinating and moderating assessments at aided schools in a Diocese that covers several Authorities.

When assessment may need to be carried out

17. AMPs will be used to help bring together and co-ordinate the capital consequences of other local plans. In relation to suitability, these will include aspects of:

☐ School Organisation Plans;
☐ Education Development Plans;
☐ School Development Plans;
☐ Early Years and Child Care Development Plans;
☐ Behaviour Support Plans;
☐ Class Size Plans;
☐ OFSTED Action Plans.

18. Suitability assessments will inform the development, updating and implementation of these plans. More specifically, they will help identify the need for work to:

☐ accommodate existing and projected pupil numbers;
☐ implement targets for raising educational standards by improving accommodation needed to support the delivery of the curriculum;
☐ address functional problems with internal spaces and external areas, including their size, shape, location, environment, fittings and fixed furniture;
☐ provide facilities for those with disabilities or special educational needs;
☐ remedy health and safety/security problems;
☐ minimise inappropriate, high cost or under-used accommodation, both teaching and non-teaching.

19. Suitability information will inform the dialogue between Authorities and schools about the link between investment and educational standards when prioritising projects that address these needs. The information will also provide a basis for subsequently monitoring and evaluating the delivery of project objectives.

Planning for future changes

20. When used to support local capital planning, suitability assessments should have regard to the five year planning periods suggested for AMPs, and take account of changes anticipated over the period, for example in:

☐ pupil numbers;
☐ pupil age range;
☐ curriculum;
☐ teaching methods;
☐ new technology;
☐ environmental standards;
☐ health and safety/security standards;
☐ special needs/disabled access policy or requirements;
☐ other policy initiatives.

21. Where changes are anticipated, assessments should be made of the current position and the position following the changes. The data supplied to the DfEE in accordance with Annex C should be based on the assessment of the current position.

Prioritisation of suitability work

22. The prioritisation of accommodation needs identified by suitability assessments should reflect their relative importance and urgency in relation to raising educational standards and to securing safe and secure conditions for users of the premises. Prioritisation should be undertaken by the local partners, taking into account local capital priorities arising from the plans referred to in paragraph 17.

23. Suitability assessment will have a central role to play in option appraisal, helping to identify and evaluate potential benefits from proposed projects. Examples of such benefits will include improvements in the quality of the accommodation for pupils and teachers, improved access for those with disabilities, safer and more secure facilities. In appraising options and prioritising projects, there should be careful assessment of the anticipated impact of each option on educational outcomes. Assessments should be carried out for each option to show the anticipated position if the option is implemented. These assessments should be compared with the current position or, where changes are anticipated (see paragraph 21), the anticipated position following the changes if the option is not implemented.

Legislation and published guidance

24. Suitability assessments should have regard to the requirements and standards set out in legislation and published guidance. Guidance on aspects of suitability is available in the DfEE's Architects and Building Branch publications. These provide advice on the type and size of spaces appropriate for different activities and types of school. Annex D lists relevant legislation and published guidance. Authorities may opt to produce their own guidance on standards, to assist schools in their role in suitability assessments. Assessing accommodation against space standards set out in guidance will, however, be less important than assessment of the impact of accommodation problems on curriculum delivery and other school operations.

Economic assessment

25. A separate aspect of AMPs is the economic performance of the premises. Detailed assessment of this aspect lies outside the scope of this guidance, but should nevertheless be an integral part of asset management planning. Economic assessments, including the use of investment appraisal, are essential in informing decisions on:

☐ improving building efficiency through adaptations, demolition of surplus building areas, or land disposals;

☐ expanding the scope of repair or adaptation projects in order to reduce life cycle costs, including replacement of buildings, or parts of buildings with high running costs, or with short anticipated lives;

☐ property reviews, including assessing the scope for relocation of schools, or reorganisation of provision to allow disposal of surplus land.

STAGE 1: SUITABILITY SURVEYS

Survey Form

26. The Suitability Survey Form shown in Annex A provides for the recording of problems in individual internal spaces and external areas. The examples show the Form partially completed in relation to a primary school, to a secondary school and to a disabilities and special educational needs assessment.

27. The Form can be used for all types of school. Its use in relation to special schools and to pupils with disabilities or special educational needs at mainstream schools is described in paragraphs 44-46.

28. The Form is not suitable for residential accommodation on school sites, nor for identifying problems in provision for community use. Suitably adapted Forms should be used.

Scope of surveys

29. For the purpose of information requested by the DfEE, surveys may be restricted to just those internal spaces and external areas with known problems. However, Authorities and schools may, for their own purposes, opt to survey all spaces and areas.

30. Where a building or site is shared between schools, there should be a separate survey for each school. Shared spaces should be included in each of the surveys for the sharing schools. Where a building or site is shared with other organisations, the survey should cover the spaces for which the school has exclusive or shared use. Where spaces are shared, this should be taken into account in assessments.

Sequence of spaces and areas

31. In carrying out each survey, internal spaces and external areas should be assessed in any convenient sequence. A methodical approach is clearly desirable. Completion of the Summary Assessment Form will be simplified if spaces of each type have been grouped together on the Suitability Survey Form.

COMPLETING THE SUITABILITY SURVEY FORM

Reference and Designation columns

32. Space references should, for consistency, match those used in capacity calculations and accommodation layouts. Space designations should relate to the current uses of spaces.

Direct Impacts on Education columns

33. Identified problems in spaces should be recorded by ticking one or more of the boxes in the *Type* columns under the *Direct Impacts on Education* heading. They should be recorded in respect to the following categories:

☐ ***Size/shape.*** The size and shape requirements of teaching spaces will depend on teaching methods and size of groups being taught. Curriculum analysis will help inform the assessment of sizes of teaching spaces. Size and shape requirements of non-teaching spaces will depend on functional requirements. BB 82 and the other guidance documents listed in Annex D can inform judgements on these aspects;

☐ ***Environment.*** Relates to the quality of spaces, including aspects such as the types of finish, temperature control, ventilation, lighting and acoustics. In the case of external areas, environment relates to aspects such as the appropriateness of pavings, fencing, etc. Assessment may include actual measurement of these factors with reference to statutory requirements and the published guidance listed in Annex D. Alternatively, it may be more appropriate to base judgements on the direct experience of the users of the spaces. Assessment of dilapidation of the fabric should not be included here, since this aspect is covered as part of condition assessment - see Section 3 in this series of guidance notes;

☐ ***Location.*** Relates to the need for the grouping of associated spaces and separation of incompatible spaces. It is also concerned with availability of access for pupils with disabilities. For schools other than special schools, this aspect is assessed separately - see paragraphs 44 and 45;

☐ ***Fittings and fixed furniture.*** Concerns the appropriateness and adequacy of fittings and fixed furniture. Dilapidation of fittings and fixed furniture should not be included here, since this aspect is covered in condition assessment - see Section 3 in this series of guidance notes. Assessment of the suitability of loose furniture and equipment lies outside the scope of the present AMP guidance, although Authorities may wish to undertake this for their own purposes;

ICT infrastructure. Given the increasing impact of ICT on the delivery of education, suitability assessments should cover the infrastructure necessary to support ICT equipment[1], including power supplies and data links. The assessments should not, however, cover loose ICT equipment.

34. Not all problems identified in this way will have a significant impact on education. It may be, for instance, that very good facilities in one space may minimise the impact of problems in an associated space. The impact of poor facilities in spaces may be less if those spaces are not intensively used.

35. Shortfalls in the numbers of spaces, and assessments of their impact on education, are recorded separately on the Summary Assessment Form.

36. The next four columns allow for problems to be categorised according to their impact on education. The cumulative impact of the problems should be assessed for each space and indicated with a tick in just one of the four *Category* columns, even when more than one Category applies. The entry should be against the Category which is considered to represent the greatest impact on the school's ability to raise educational standards. The Categories are as follows:

☐ **Category A - Unable to teach curriculum.** This is most likely to be associated with numbers and types of teaching spaces available. There should be enough appropriate spaces to accommodate all pupils for the whole of the curriculum;

☐ **Category B - Teaching methods inhibited.** Unsuitability of spaces may mean that schools' preferred teaching methods are inhibited. This may be associated with numbers and types of teaching spaces, or with the size and other aspects of spaces;

☐ **Category C - Management or organisation of school affected adversely.** Unsuitability of spaces and/or the way they relate to each other may affect the organisation or management of the school;

☐ **Category D - Pupil or staff morale or pupil behaviour affected adversely.** Unsuitability of spaces may affect pupil or staff morale or pupil behaviour.

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[1] A Government target is that by 2002, all schools should be connected to the National Grid for Learning.

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37. The fact that the benefit from resolving some problems may be outweighed by the cost should be ignored in identifying problems and their impacts on education. Cost will, of course, be a factor in prioritisation of work.

38. Table 2 shows examples of how various types of accommodation problems and their impact on education might be categorised. The Table also shows how the impacts might be measured and quantified. Quantification is referred to in paragraph 60 and examples are shown on the Forms in Annex B.

39. It is suggested that where numbers of teaching periods are used as units of quantity, they should relate to a one week period.

Table 2 - Examples of categorisation and quantification of direct impact problems.

Accommodation problem	Impact on school operations	Quantification
Category A - Unable to teach curriculum		
Too few science laboratories	The Science element of the National Curriculum cannot be taught to some pupils	Fewer lessons (number of teaching periods lost and average group size for those periods)
No disabled access to upper floor	Disabled pupils do not have access to Science and Art	Lack of disabled provision (ditto)
Category B - Teaching methods inhibited		
Too few general teaching spaces	Pupil numbers cannot be accommodated with preferred group sizes	Lessons with group sizes larger than preferred (number of teaching periods affected and average group size for those periods)
Too few drama spaces	Some Drama has to be taught in unsuitably small spaces, restricting range of teaching	Lessons in inappropriate spaces (ditto)
Music spaces too small	Cannot accommodate instruments needed for preferred activities	Lessons in inappropriate spaces (ditto)
Science laboratories lack ventilation	Range of experiments restricted	Lessons in inadequate spaces (ditto)

Table 2 - Examples of categorisation and quantification of direct impact problems (cont'd)

Accommodation problem	Impact on school operations	Quantification
Category B - Teaching methods inhibited (cont'd)		
Inadequate playing field provision	School's preferred range of PE cannot be taught to some pupils	Lessons in inadequate spaces (ditto)
Technology equipment unsuitable for disabled pupils	Disabled pupils do not have access to some aspects of Technology	Lack of disabled provision (number of teaching periods affected and average number of pupils affected)
Category C - Management or organisation of school affected adversely		
Single science laboratory in isolated location	Lesson preparation is made difficult because preparation room is isolated from laboratory	Increased administrative workload for teachers (number of teachers affected)
IT space in isolated location	Pupils and teachers have to travel excessive distances at lesson changeovers	Shortened lessons (number of teaching periods affected and average group size for those periods)
Central corridor too narrow	Pupil movement at lesson changeovers is slow	Shortened lessons (ditto)
Too few offices	School administration inhibited	Lack of administrative support for teachers (number of teachers affected)
Catering facilities are inadequate	Some pupils cannot be offered hot meals	Non-availability of hot meals (number of pupils affected)
Hard play areas too small	Recreation inhibited	Poor quality recreational facilities (number of pupils affected)

Table 2 - Examples of categorisation and quantification of direct impact problems (cont'd)

Accommodation problem	Impact on school operations	Quantification
Category D - Pupil or staff morale or pupil behaviour affected adversely		
Classroom too hot for long periods during summer	Pupil concentration affected	Lessons in poor environment (number of teaching periods affected and average group size for those periods)
Inadequate insulation between music space and adjacent classroom	Pupils and teachers in adjacent classroom distracted by noise from music space	Lessons in poor environment (ditto)
Staff room too small	Staff have uncomfortable conditions for lesson preparation and management functions	Adverse effect on staff morale (number of staff affected)

Health and safety/security columns

40. Suitability assessments should identify health and safety/security problems arising from inadequate or unsatisfactory aspects of building or site layouts. Such problems should be recorded with a tick in one of the three columns. Examples are given in Table 3. The categories are as follows:

☐ ***High.*** Problems which present an immediate high risk to the health and safety of occupants and/or are serious breaches of legislation;

☐ ***Medium.*** Problems which present a medium risk to the health and safety of occupants and/or are less serious breaches of legislation;

☐ ***Low.*** Problems which present a low risk to the health and safety of occupants and/or are minor breaches of legislation.

41. There may be health and safety problems which have direct impacts on education. A narrow corridor, for example, might be both a fire hazard and a cause of delay to class changeovers. In addition to categorising such problems in the *health and safety/security* columns, their impact should be also assessed in the *Direct Impacts on Education* columns, using the A-D categories.

42. Assessment of health and safety problems arising from breaches of legislation in relation to the existing fabric should be not be included here, since this aspect is covered as part of condition assessment - see Section 3 in this series of guidance notes.

Table 3 - Examples of categorisation of health and safety/security problems

Accommodation problem	Impact
High	
Upper floor occupancy considerably in excess of capacity of the single staircase	Serious risk in the event of fire
Several laboratories have only one exit route	Ditto
Medium	
Lack of security alarm provision has resulted in a number of break-ins	Risk of theft or damage from further break-ins
Inadequate pupil toilet provision	Unsanitary conditions
Low	
Unsatisfactory benching layout in science laboratory	Risk of injury from equipment being knocked off benching, only mitigated by careful supervision
Inadequate boundary fencing	Security hazard

Comments column

43. Supporting comments should be entered in this column to amplify, where necessary, the entries in the other columns.

Disabilities and special educational needs provision

44. Pupils with disabilities or special educational needs in mainstream schools may have particular requirements, such as means of access or specialist equipment provision. Except in the case of special schools (discussed below), problems in respect of these requirements should be identified on separate sheets of the Survey Form. The same spaces may therefore be covered by two sheets: one for general problems, and the other for problems particular to pupils with disabilities or special educational needs.

45. Assessments should consider the current and projected disabilities and special educational needs of building users in the context of relevant legislation, local and

national policy. Whether internal spaces or external areas pose problems will depend not only on the characteristics of those spaces or areas, but also on the types of disabilities or special educational needs. By making best use of those internal spaces and external areas which have adequate provision, the need for additional provision may be mitigated.

Special schools

46. Assessments of special schools will need to take account of the particular accommodation requirements arising from the disabilities or special educational needs of the pupils. There is no need to assess separately these particular requirements as discussed in paragraphs 44 and 45.

STAGE 2: SUMMARY ASSESSMENTS

Summary Assessment Form

47. The impact on educational standards and health and safety/security problems from the Suitability Survey Forms should be summarised on the Summary Assessment Form shown in Annex B. This Form should also be used to summarise comparisons of existing and optimum numbers of spaces, based on the assessments referred to in paragraph 48. The examples show the Form partially completed for a primary and a secondary school.

Assessments of optimum numbers and types of spaces

48. Assessments of the optimum numbers and types of teaching spaces at secondary schools should be based on curriculum analyses. The methodology is explained in BB 82. Assessments for other types of schools should be based either on curriculum analysis, or on an alternative form of systematic analysis. BB 82 also provides guidance to inform assessments of non-teaching spaces and external areas.

COMPLETING THE SUMMARY ASSESSMENT FORM

49. The *Spaces* columns are as follows:

☐ ***Existing.*** Existing number of each type of teaching space;

☐ ***Optimum.*** Optimum number of each type of teaching space, ascertained through analyses referred to in paragraph 48;

☐ ***Surplus.*** Numbers of surplus teaching and non-teaching spaces. In the case of teaching spaces, surpluses will be the amounts by which figures in the *Existing* column exceed those in the *Optimum* column. The economic implications of any surplus spaces are not assessed on the Form, but should be taken into account in the separate economic assessments referred to in paragraph 25;

☐ ***Shortfall.*** Numbers of shortfalls of teaching and non-teaching spaces. In the case of teaching spaces, shortfalls will be the amounts by which figures in the *Optimum* column exceed those in the *Existing* column;

☐ ***Impact.*** The category of impact of any shortfalls of spaces entered in the *Shortfall* column, using the Categories referred to in paragraph 36.

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Direct Impacts on Education columns

50. The total numbers of spaces categorised A, B, C or D from the Suitability Survey Forms are entered in the appropriate *Direct Impacts on Education Category* columns. To these should be added, subject to paragraph 51, any entries from the *Shortfall* column, according to the category entered in the *Impact* column.

51. Except in the case of special schools, any entry made in the *Shortfall* column against SEN spaces should be added to the A-D entries against *Disabilities and special educational needs provision*, rather than against SEN.

Health and Safety/Security columns

52. The total numbers of each type of space with *High, Medium* and *Low* health and safety/security problems from the Suitability Survey Forms are entered in the *Health and Safety/Security* columns.

Comments column

53. Supporting comments should be entered in the *Comments* column to identify key issues relating to assessments, including the effect of accommodation problems on standards. Spaces shared with other schools or organisations should be clearly identified in the comments.

Space classification

54. Spaces are classified as follows:

☐ **Teaching spaces.** Some specialist spaces are grouped together by type e.g. food, multi-materials and other types of technology space;

☐ **Non-teaching spaces.** The five types are as described in BB 82;

☐ **External areas.** Types are as described in BB 82. For the purpose of entries to the *Direct Impacts on Education* columns, each type of area should be counted as one area, regardless of the number of areas of that type on the site e.g. car parking counts as one area, even though there may be more than one car park.

55. Some types of spaces may not be relevant to particular types of schools. Authorities and schools may opt to amend the Summary Form by "hiding" space types which are not applicable. (Example 1 in Annex B for a primary school has some space types hidden. Example 2 for a secondary school has no space types hidden.)

56. Included in the list of types of teaching spaces on the Form are three "Other" types. If entries are made against these types, "Other" should be amended to the particular space type. (Example 1 in Annex B for a primary school shows particular space types entered in place of "Other".)

Provision for disabilities and special educational needs

57. Where there are separate disabilities survey sheets, (see paragraphs 44 and 45), the total number of spaces with Category A, B, C and D impacts from those sheets should be entered on the Summary Assessment Form against *Provision for disabilities and special educational needs* in the *Direct Impact on Education* columns.

Special schools

58. In the case of special schools, there is no need to separately assess the requirements arising from the disabilities or special educational needs of pupils. Refer to paragraph 46.

Residential accommodation and community provision box

59. A survey and assessment should be carried out, in an appropriate format, for any residential accommodation and community provision. A summary of the assessment should be entered in the box provided.

Quantification of loss from suitability problems box

60. Authorities and schools may opt not to fill in the *Quantification of loss from suitability problems* box, except for those schools where there is a likelihood of projects to address suitability problems. Where projects are likely, the impacts of the problems on curriculum delivery and school operations should as far as possible be quantified and a summary of them entered in the box provided. This quantification will provide a basis for checking that the priority rating is justified and inform the appraisal of options.

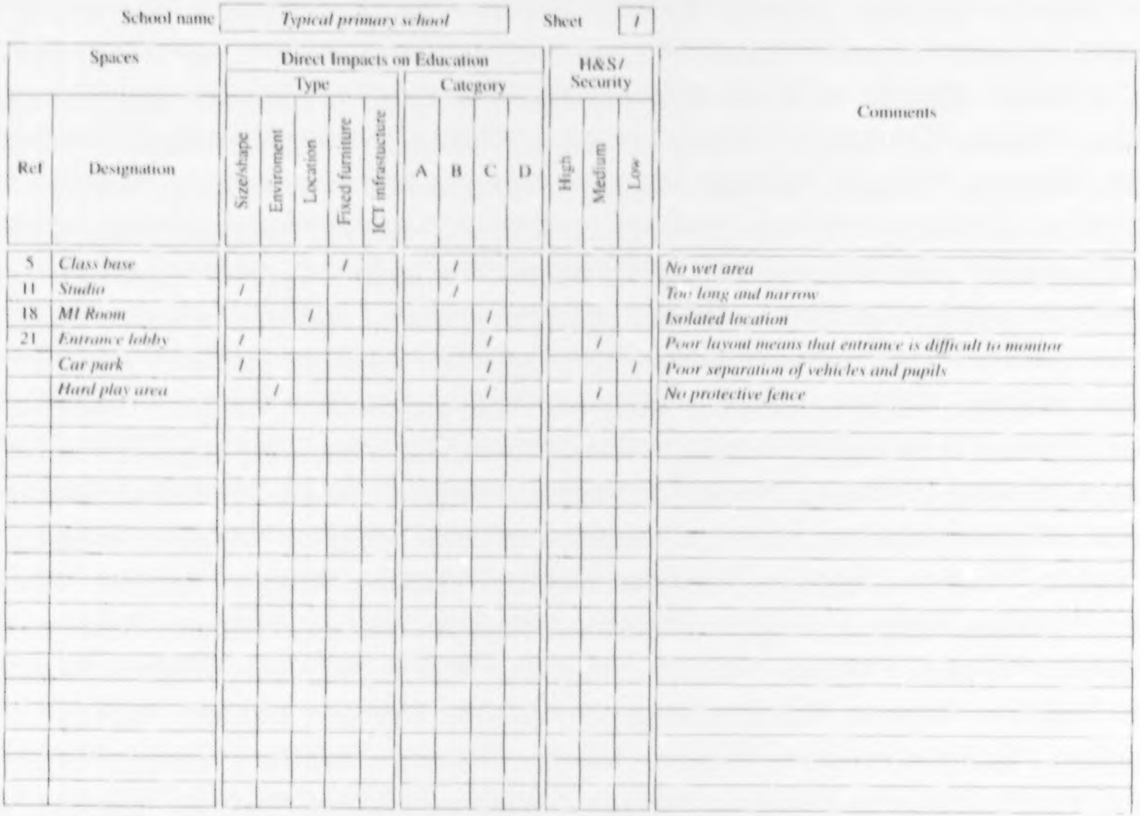
Basis of assessment box

61. Details of the basis of the assessment should be entered in the box provided. The entry should state whether the assessment is for the existing or a projected roll, giving pupil numbers.

ANNEX A: EXAMPLES OF SUITABILITY SURVEY FORMS

The use of this Form is described in paragraphs 26-46. The working version of the Form will be to a larger scale than these illustrative examples.

Example 1: Primary school



School name: *Typical primary school* Sheet: *1*

Spaces		Direct Impacts on Education									H&S/ Security			Comments
		Type					Category							
Ref	Designation	Size/shape	Enviroment	Location	Fixed furniture	ICT infrastucture	A	B	C	D	High	Medium	Low	
5	*Class base*				/			/						*No wet area*
11	*Studio*	/						/						*Too long and narrow*
18	*MI Room*			/					/					*Isolated location*
21	*Entrance lobby*	/							/			/		*Poor layout means that entrance is difficult to monitor*
	Car park	/							/				/	*Poor separation of vehicles and pupils*
	Hard play area		/						/			/		*No protective fence*

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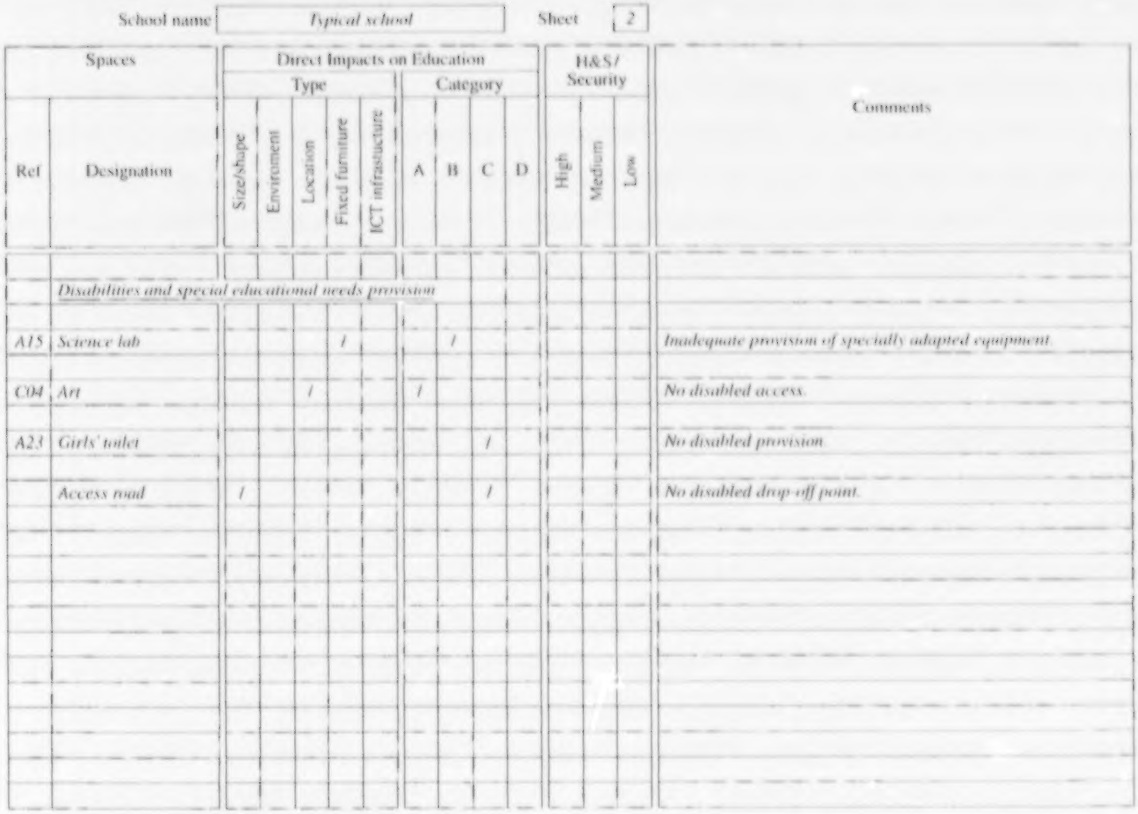
Example 2: Secondary school

School name *Typical secondary school* Sheet *1*

Spaces		Direct Impacts on Education									H&S/ Security			Comments
		Type					Category							
Ref	Designation	Size/shape	Enviroment	Location	Fixed furniture	ICT infrastucture	A	B	C	D	High	Medium	Low	
A03	*Gen teachg*	/						/						*Too small*
A07	*Gen teachg*	/	/					/						*Too small and very hot in summer*
A11	*Gen teachg*		/							/				*Very hot in summer*
A20	*Gen teachg*	/						/						*Unsuitable shape*
A15	*Science lab*			/					/					*Remote from other labs*
B04	*Science lab*												/	*Hazardous benching layout*
B11	*Food technology*			/	/			/						*Isolated position and unsuitable equipment*
D07	*Control technology*			/		/			/					*Isolated position*
A13	*Staff room*	/								/				*Too small*
D11	*Materials store*			/					/					*Isolated position*
C01	*Main corridor*	/							/				/	*Too narrow*
	Hard play areas	/							/					*Small dispersed areas*
	Car parking			/					/					*Inadequate number of spaces*

Example 3: Assessment particular to disabilities or special educational needs



School name: *Typical school*

Sheet: 2

Spaces		Direct Impacts on Education									H&S/ Security			Comments
		Type					Category							
Ref	Designation	Size/shape	Enviroment	Location	Fixed furniture	ICT infrastucture	A	B	C	D	High	Medium	Low	
	Disabilities and special educational needs provision													
A15	*Science lab*				/			/						*Inadequate provision of specially adapted equipment.*
C04	*Art*			/			/							*No disabled access.*
A23	*Girls' toilet*								/					*No disabled provision.*
	Access road	/							/					*No disabled drop-off point.*

ANNEX B: EXAMPLE OF SUMMARY ASSESSMENT FORM

The use of this Form is described in paragraphs 47-60. The working version will be to a larger scale than this illustrative example.

Example 1: Primary school

School name *Typical primary school*

123 / 1234 LEA / School No.

		Spaces					Direct Impacts on Education				H&S/ Security			Comments
	Space classification	Existing	Optimum	Surplus	Shortfall	Impact	A	B	C	D	High	Medium	Low	
1	General teaching	*14*	*14*					*1*						
5	Technology	*1*	*1*											
9	SEN	*1*	*2*		*1*	*A*								
11	Hall	*1*	*1*											
12	Library	*1*	*1*											
13	Resource areas													
15	Mixed use practical	*2*	*3*		*1*	*B*		*1*						
16	Studio	*1*	*1*					*1*						
17	Other (specify)													
18	**Teaching spaces**	*21*	*23*		*2*			*3*						
19	Staff and admin spaces													
20	Pupil changing/toilets													
21	Teaching storage				*1*	*C*			*1*					*Inadequate storage for practical teaching spaces*
22	Kitchen/dining													
23	Ancillary/circulation								*2*					
24	**Non-teaching spaces**				*1*				*3*					
25	Playing fields													
26	Hard surfaced play areas								*1*					
27	Soft landscaped areas													
28	Access roads and paths													
29	Car parking								*1*					
30	**External areas**								*2*					
31	**Provision for disabilities and special educational needs**						*1*							

Some space types hidden - refer to paragraph 55

Added against *Disabilities and special educational needs provision* - refer to paragraph 51

"Other" types edited - refer to paragraph 56

Residential accomodation and community use

No comment

Quantification of loss from suitability problems

Lessons in inappropriate spaces - 30 teaching periods per week, average group size of 29
Lessons in inadequate spaces - 60 teaching periods per week, average group size of 29
Lack of disabled provision - 30 teaching periods, 3 pupils
Lack of administrative support for teachers - All teachers
Excessive administrative workload for teachers - All teachers

Basis of assessment

Existing roll

Assessment date *June 99*

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Example 2: Secondary school

School name *Typical secondary school* *123 / 1234* LEA / School No.

	Space classification	Spaces					Direct Impacts on Education				H&S/ Security			Comments
		Existing	Optimum	Surplus	Shortfall	Impact	A	B	C	D	High	Medium	Low	
1	General teaching	32	34		2	A	2	3		1				
2	Science	10	9	1					1				1	
3	IT	3	3											
4	Art	4	4											
5	Technology	5	6		1	A	1	1	1					*Shortfall of food space*
6	Music	3	3											
7	Drama	2	2											
8	PE	2	2											
9	SEN	0	1		1	A								
10	Private study	2	2											
11	Hall	1	1											
12	Library	1	1											
13	Resource areas	5	5											
14	Common room	1	1											
15	Other (specify)													
16	Other (specify)													
17	Other (specify)	3	3											
18	**Teaching spaces**	74	77	1	4		3	4	2	1			1	
19	Staff and admin spaces				1	C			1	1				*Shortfall of general office space*
20	Pupil changing/toilets													
21	Teaching storage								1					
22	Kitchen/dining													
23	Ancillary/circulation								1				1	
24	**Non-teaching spaces**				1				3	1			1	
25	Playing fields													
26	Hard surfaced play areas								1					
27	Soft landscaped areas													
28	Access roads and paths													
29	Car parking								1					
30	**External areas**								2					
31	**Provision for disabilities and special educational needs**						2	1	2					

Residential accomodation and community use

No means of isolating areas in community use during evenings and at week-ends

Quantification of loss from suitability problems

Lessons with group sizes larger than preferred - 200 teaching periods, average group size 28
Lessons in inadequate spaces - 120 teaching periods, average group size 25
Lessons in poor environment - 30 teaching periods, average group size 22
Shorter lessons - 30 teaching periods, average group size 25
Lack of disabled provision - 60 teaching periods, 5 pupils
Poor quality recreational facilities - All pupils
Increased workload for teachers - All teachers
Adverse effect on staff morale - All staff

Basis of assessment

Existing roll

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Assessment date *June 99*

ANNEX C: SUITABILITY DATA REQUESTED BY THE DfEE

The basis for appraising Authorities' AMPs is explained in Section 1 of this series of guidance notes.
To help the DfEE to appraise the suitability assessments in AMPs, Authorities will be asked to provide the suitability assessment information shown below. Separate guidance will be issued relating to the data specification, validation rules and transfer arrangements.

Only the information in the shaded boxes is requested by the DfEE.

School name ____________ / ____________ LEA / School No.

		Spaces					Direct Impacts on Education				H&S/ Security			Comments
	Space classification	Existing	Optimum	Surplus	Shortfall	Impact	A	B	C	D	High	Medium	Low	
1	General teaching													
2	Science													
3	IT													
4	Art													
5	Technology													
6	Music													
7	Drama													
8	PE													
9	SEN													
10	Private study													
11	Hall													
12	Library													
13	Resource areas													
14	Common room													
15	Other (specify)													
16	Other (specify)													
17	Other (specify)													
18	**Teaching spaces**													
19	Staff and admin spaces													
20	Pupil changing / toilets													
21	Teaching storage													
22	Kitchen / dining													
23	Ancillary / circulation													
24	**Non-teaching spaces**													
25	Playing fields													
26	Hard surfaced play areas													
27	Soft landscaped areas													
28	Access roads and paths													
29	Car parking													
30	**External areas**													
31	**Provision for disabilities and special educational needs**													

Residential accomodation and community use

Quantification of loss from suitability problems

Basis of assessment

Assessment date

ANNEX D: LEGISLATION AND GUIDANCE

This list aims to refer to the most useful documents. It does not cover all regulations, Codes of Practice, or guidance relating to buildings, equipment, specialist facilities, services, or the management of schools.

Legislation

Reference should be made to relevant legislation and Codes of Practice, some of which are listed in Annex E of Section 3 of this series of guidance notes.

DfEE Architects and Building Branch guidance.

Department of Education and Science. **Building Bulletin 61: Designing for Children with Special Educational Needs: Ordinary Schools** HMSO, 1984. ISBN 0 11 270313 5.

Department for Education and Employment. **Building Bulletin 71 second edition: The Outdoor Classroom** TSO, 1999. ISBN 0 11 271061 1.

Department for Education and Employment. **Building Bulletin 77: Designing for Pupils with Special Educational Needs: Special Schools** TSO, 1997. ISBN 0 11 270796 3.

Department for Education and Employment. **Building Bulletin 80: Science Accommodation in Secondary Schools: A Design Guide** HMSO, 1995. ISBN 0 11 270873 0.

Department for Education and Employment. **Building Bulletin 81: Design and Technology Accommodation in Secondary Schools: A Design Guide** HMSO, 1996. ISBN 0 11 270917 6.

Department for Education and Employment. **Building Bulletin 82: Area Guidelines for Schools** HMSO, 1996. ISBN 0 11 270921 4.

Department for Education and Employment. **Building Bulletin 84: School Boarding Accommodation: A Design Guide** TSO, 1997. ISBN 0 11 270977 X.

Department for Education and Employment. **Building Bulletin 85: School Grounds: A Guide to Good Practice** TSO, 1997. ISBN 0 11 270990 7.

Department for Education and Employment. **Building Bulletin 86: Music Accommodation in Secondary Schools** TSO, 1997. ISBN 0 11 271002 6.

Department for Education and Employment. **Building Bulletin 87: Guidelines for Environmental Design in Schools (Revision of Design Note 17)** TSO, 1997. ISBN 0 11 271013 1.

Department for Education and Employment. **Building Bulletin 89: Art Accommodation in Secondary Schools: A Design Guide** TSO, 1998. ISBN 0 11 271029 8.

Department for Education and Employment. **Managing School Facilities Guide 4: Improving Security in Schools** HMSO, 1996. ISBN 0 11 270916 8.

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Asset Management Plans

Section 5: Sufficiency Assessment

Local Education Authorities, Schools & Dioceses

Status: non-statutory
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5

Full text available at:
http://www.dfes.gov.uk/amps/section5.shtml

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ASSET MANAGEMENT PLANS

SECTION 5: SUFFICIENCY ASSESSMENT

March 2001

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INTRODUCTION

Background

1 The Government has asked Local Education Authorities (Authorities) to implement an agreed framework of Asset Management Plans (AMPs). For these to be effective, we need comprehensive, accurate and consistent data on the condition, suitability and sufficiency of school premises.

2 A consultation paper on sufficiency assessment was published by the DfEE in April 2000. This is the fifth section of AMP guidance and is based on that paper and responses to the consultation. The first four sections were published in 1999 and are:

Section 1:	Framework;
Section 2:	Property Information Systems and School Premises Data;
Section 3:	Condition Assessment;
Section 4:	Suitability Assessment.

A further section is also available on AMP appraisal.

About this Section

3 This fifth section offers non-statutory guidance on assessing the sufficiency of school premises. It is important to recognise that, in the context of AMPs, sufficiency incorporates two separate types of assessment: measurements of overall area and measurements of the pupil places, or capacity. They are based on different assessment formats and offer different sufficiency and efficiency information.

4 Adoption of these measurements will help to ensure national consistency as Authorities develop their AMPs over time and will identify funding needs.

5 The capacity of schools is currently based on the 'MOE' capacity assessment method but, from June 2002, will be based on a revised method of assessment known as 'net capacity'. Detailed guidance on the net capacity method, which aims to be fairer and more realistic than current measures, will follow later. Annex C shows the proposed net capacity form, which has been developed following feedback from the consultation.

6 This document explains which measurements of area should be collected and why, in relation to area assessments and future net capacity assessments. The net area of buildings, on which the new net capacity method is based, is defined in Annex A.

7 To reduce the burden on Authorities and schools, a schedule of the net area of all maintained schools (except special schools) will be collated by independent surveyors, working directly to the Department, between Spring 2001 and Spring 2002 (as discussed in paragraphs 32-35). Authorities will then be responsible for determining the net capacity of each school, from the schedule of spaces in the net area, by June 2002.

OVERVIEW

What is Sufficiency Assessment?

8 Sufficiency focuses on total areas and on the quantity and organisation of places within and across schools in an Authority in relation to demand.

9 For the purposes of AMPs, the definition of sufficiency includes two separate measurements:

☐ the number of pupil places available (the **capacity**) compared to current and future numbers on roll;

☐ the overall **areas** of buildings and grounds in support of the places available and the current number on roll.

10 Sufficiency deals only with overall totals. The number of different types of spaces in a school, whether indoor or outdoor, are covered by suitability. For instance, the number of types of spaces calculated by curriculum analysis would be part of the suitability assessment.

What are its Aims and Uses?

11 The primary aim of sufficiency assessment is to offer a fair and consistent method of identifying any surplus or deficit of pupil places in relation to demand. This remains the statutory duty of Authorities and is, of course, already done by them using current measures of capacity.

12 From June 2002, a new **net capacity** assessment method will be used to measure the number of pupil places available. In place of existing measures, this will:

☐ inform decisions on Basic Need funding;

☐ be used to measure surplus places;

☐ indicate an admission number for schools.

13 The Department is currently investigating options for revising the ways of handling Basic Need, surplus places measurement and Standard Number, with the aim of reducing administrative burdens and using the new capacity assessment method to offer a fairer and more transparent system.

14 The revised capacity assessments will also:

☐ help in the development and updating of School Organisation Plans (which address the above issues);

☐ inform various other local plans, including Educational Development Plans, School Development Plans, and Early Years and Child Care Development Plans;

☐ inform statutory proposals which, from June 2002, will be based on net capacity when published.

15 The **area** totals would allow for the site area and the total building area on each site to be compared with the places available, to ensure they are adequate. These totals can also be used to measure the efficiency of use of those places. This information, along with other AMP indicators, will help Authorities to identify the sites where places could be added or reduced to best effect.

What is to be Measured?

16 Sufficiency assessments will apply to all types of school - nursery, primary, middle, secondary, special and pupil referral units. Capacity will be based on current MOE measurements until June 2002, when the net capacity assessment method will be used for all maintained mainstream schools. At present, there are no proposals to use the net capacity method for special schools, pupil referral units or pre-school early years facilities including nurseries, so these will be measured in the same way as they are now[1]. A version of net capacity could be used for such schools in the future.

---

[1] *The 'Approved Arrangement' which indicates the capacity of special schools is currently based on an individual assessment of the facilities by the Secretary of State on advice from HMI and specialists in Architects and Building Branch.*

Area Measurements

17 The Area Assessment Format proposed in this guidance (Annex B) uses six basic measurements of total area, as defined in Annex A. Five of these measurements are already defined and requested for the DfEE database in 'Section 2: Property Information Systems and School Premises Data'. They are:

☐ teaching area;

☐ gross area of buildings;

☐ team game playing fields area;

☐ playing field area;

☐ total site area.

18 The sixth, the **net area** of buildings, is the total usable area in the school, including both teaching and non-teaching spaces. This will be a new measurement to many. However, it is firmly based on the standards of measurement used in other sectors for many years. It does not include the area occupied by circulation, plant, toilets or internal walls. As such, it can provide a more accurate and objective measure of efficiency of use than present measures, such as teaching area as a proportion of gross area.

19 As well as being the basis of future net capacity assessments, net area can be used by schools and Authorities:

☐ to measure the area of usable non-teaching space available for storage, staff accommodation and dining facilities;

☐ in benchmark comparisons with similar schools and, in the longer term, with new 'Area Guideline' formulae;

☐ to assess the 'efficiency of use' of the buildings, as discussed in Annex 5.

These indicators should be useful for long-term local decision making.

Excluded Areas

20 Following feedback to the consultation, the definitions of gross and net area have been clarified (see Annex A). As a simplification of the proposals in the Consultation Paper, all buildings available to the school, no matter how long they have been or are intended to be on site, will be included, unless deemed by the Authority to have an established 'non-school' or 'support' function (paragraph 25).

21 Precise definitions are included in Annex A, but gross area will include all buildings on the school site, as described above, except:

☐ residential or farm buildings, used as such;

☐ buildings condemned by the Authority as structurally unsafe;

☐ areas under the control of service or external bodies and maintained by them (such as telephone or electricity services, the police or Health Service);

☐ any open-sided covered area;

☐ areas with headroom of less than 1.5m.

22 Net area will include all areas in the gross area except:

☐ toilets and showers (including lobbies);

☐ plant space such as boiler rooms;

☐ the area of internal walls, including non-load bearing partition walls;

☐ circulation routes;

☐ school kitchens, used for preparing school meals for pupils, and related ancillary spaces solely for catering storage or staff[2].

---

[2] *This would include the kitchen, related stores, office and washroom facilities for catering staff and servery areas, except those which are available for furniture storage or other uses at other times. It would not include dining or vending areas.*

23 The definition of net area is in line with that used in other sectors, familiar to surveyors and building professionals, except in the exclusion of the area of non-load bearing partition walls and school kitchens, and the option to determine 'shared circulation' (circulation through areas also used for other purposes) as defined in Annex A.

24 The proposed capacity method at Annex C would also allow each of the following to be discounted from the net capacity (but not from the net area):

☐ a chapel, or similar place of worship, within the school;

☐ an SEN resource base;

☐ a parents' room.

Non-school and Support Functions

25 The Government is keen to promote community and broader use of school facilities, while avoiding, for instance, potential surplus places being inappropriately labelled as community facilities. Whether such space is excluded from the assessments of areas and capacity will therefore depend on whether it is deemed by the Authority to be used for one of three types of established non-school or support provision.

☐ Early Years and Child Care provision on site, approved by the Authority as part of its Early Years and Child Care Development Plan (including private facilities).

☐ Specially resourced facilities, including facilities for pupils with SEN and disabilities or behaviour management problems (such as a support centre for pupils with sensory impairments, or a Learning Support Unit), and accommodation for Authority designated support services, including peripatetic and support staff.

☐ Adult Learning and Skills facilities, in line with the Local Learning and Skills Council Business Plan, including City Learning Centres (CLCs), space specifically for teacher training and other Lifelong Learning facilities not available to the school.

26 The Authority will be responsible for designating excluded facilities, on the basis of relevant specialist funding being available to ensure they are used effectively and maintained. These excluded areas could still be measured, but listed separately, so that both Authorities and the DfEE could benchmark and check the amount involved.

27 Non-school or support accommodation not included above, such as community facilities also available to the school during the school day or ad-hoc playgroups, would be included in area and net capacity assessments, although it need not count as teaching area.

28 These definitions would apply to any maintained space in the school that is regularly used for non-school or support use during all or parts of normal school days. Regular part-time use would be based on a pro-rata proportion of the average teaching week for which the space is used.

29 Area assessments (Annex B) should include overall totals which include all the above elements, as they are useful as broad-brush indicators and to identify the full complement of stock involved. However, totals which do not include established non-school or support functions are useful for more accurate comparisons with Area Guideline formulae and benchmarking.

Capacity Assessment

30 Revised capacity assessments will be based on the number of 'workplaces' available in **every** usable space in a school (i.e. all spaces in the net area). To avoid dispute, this will be assessed from accurate area measurements of all spaces that are large enough to potentially be used as classbases (a classroom used as the registration base of a class) in primary schools, or as teaching spaces in secondary schools.

31 Detailed guidance on the revised capacity assessment method and how to use it will be published later this year. It will include examples and frequently asked questions. Annex C includes the current proposed net capacity assessment form for primary schools on which we would welcome comments. Details of the form

for both primary and secondary schools and how to comment will be on the AMPs page of the DfEE website (www.dfee.gov.uk/amps/index.htm). Comments received by 30 April 2001 will be noted and may be included in the form. However, we do not envisage the key methodology in steps 1 to 4 (the schedule of spaces) being revised further.

Independent Surveys

32 To ease the burden on Authorities, and to ensure that the net capacity data is measured in time for assessments to be complete by June 2002, independent surveyors, working directly to the Department, will collate a schedule of accommodation of net area for all schools (equivalent to steps 1 to 3 of the net capacity form at Annex C).

33 It is recognised that some Authorities have already spent considerable resources in measuring the net area of schools, usually linked to computerised drawings, as part of their AMP assessment process. They will easily be able to create a schedule of all spaces in the net area. Elsewhere, there will be sufficient scale drawings or accurate schedules of accommodation to provide the net area of a number of schools. For most schools, however, existing MOE forms will identify some rooms but many other ancillary spaces will need to be measured. For a few schools, little or no information will be available and these will need to be measured entirely.

34 To avoid duplication of work, and to assist those Authorities that have appropriate data already available, the collation of net area for all schools is to be supported as follows.

- ☐ All Authorities will be offered an 'administration fee', depending on the number and type of schools involved, for attempting to find relevant net area data for their schools, for co-ordinating visits by the independent surveyors and to support the identification of net capacity by verifying those rooms used as classbases in primary schools or as teaching spaces in secondary schools, and any excluded areas.

☐ A further 'recovery fee' will be offered for the relevant data to be passed to independent surveyors for verification, related to the number of 'workplaces' (as defined for net capacity); Authorities may wish to pass this fee on to Dioceses or schools, if appropriate.

☐ Independent surveyors will visit all schools between Spring 2001 and Spring 2002 to verify the measurements received from the Authority, to measure any spaces in the net area not measured to date, and to complete steps 1 to 3 of a net capacity assessment form (a schedule of all spaces in the net area of the school).

☐ Some further funding will also be available to Authorities to cover further discussion where complications arise.

35 The independent surveyors will only draw up a list of accommodation for the purposes of a net capacity assessment and a total net area. We do not wish this to discourage those Authorities wishing to undertake their own measurements from continuing to create scale drawings of schools. Drawings will offer a far wider range of information, including the location and configuration of spaces, for local decision making and longer term planning, and as such will usually justify the extra expense that may be involved.

Roles and Responsibilities

36 Independent surveyors, Authorities, Dioceses and schools are all likely to be involved in sufficiency assessments. This should help ensure that assessments are transparent and that the outputs are seen to be fair.

37 To ease the burden on Authorities, the independent surveyors involved in the net area assessments will be responsible for:

☐ verifying the size and type of any spaces already listed by the Authority;

☐ measuring the area of any spaces in the net area of schools that have not been measured before;

☐ allocating the type of space (general, light practical, etc. at step 3).

38 Authorities will be responsible for:

☐ listing the spaces in the net area (steps 1 to 3);

☐ verifying the designation of status of space by the school (classbases, etc. at step 4) and excluded areas;

☐ coordinating the timetable for independent surveys to measure the area and capacity data required;

☐ using the data to develop strategic plans and capital projects (with the help of the scoring method described in Annex B);

☐ ensuring that the amount of excluded areas for non-school or support use, as listed in paragraph 25 is appropriate for the needs of the local area;

☐ ensuring that any school kitchen facilities are appropriate for the needs of the school, and, if appropriate, for others locally;

☐ updating the AMP database if physical changes are made to the buildings at any school.

In cases of dispute, the net area will be as measured by the independent surveyors, and verified by officials from the DfEE, if necessary. In all cases, the Authority will be responsible for determining the net capacity.

39 Schools are not responsible for the measurement of area or capacity. However, they would be involved, with their Admission Authority[3], in:

☐ establishing which spaces count towards teaching area;

☐ establishing which rooms are identified as 'classbases' in primary schools or teaching rooms in secondary schools, and are therefore the basis of the capacity.

They will also be responsible for informing the Authority of any physical change to the buildings that might change the area or capacity measurements.

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[3] *The governing bodies of Foundation schools, Voluntary Aided schools, and of Community or Controlled schools where the Local Education Authority has delegated responsibility for admissions to governors.*

101

40 Authorities and denominational schools will wish to reinforce local partnerships by drawing on the experience and advice of Diocesan Building Officers in agreeing the teaching area and the rooms used as the basis for the capacity assessment, and in assessing if any physical change to the buildings will affect the area or capacity.

Timing (When Assessments May Need to be Carried Out)

41 Current measurements of the physical capacity of all schools were collected and checked by the Department in this year's surplus place returns. Guidance on the new, revised capacity assessment method will be published later this year and the method will be used for all schools from **1 June 2002**. This will be in time to be used for:

- ☐ surplus places measurements in 2002;
- ☐ capital allocations in 2003-04;
- ☐ informing School Organisation Plans in 2003-04.

42 Five of the six area measurements required in paragraphs 17 and 18 have already been requested by the Department and will now have been received. Net area measurements will be identified by independent surveyors between Spring 2001 and Spring 2002.

43 The following programme is planned.

Spring 2001

Net capacity guidance published, probably in the form of a Circular, with details and examples.

Spring 2001 - June 2001

Measurement of net area and net capacity of all schools in pilot study Authorities, including some growth areas and reorganisations.

June 2001 - June 2002

Measurement of net area and net capacity of all remaining schools.

June 2002

New Education (Information as to the Provision of Education) Regulations come into force and net capacity used by DfEE to set future Basic Need funding, by Authorities for future SOPs, and in the publication of any statutory proposals.

Autumn 2002

Surplus places information published, based on a revised analysis using the net capacity measurements.

Planning for Future Changes

44 When used to support local capital planning, sufficiency assessments should have regard to the five year planning periods suggested for AMPs, and take account of changes anticipated over the period, for example in:

☐ pupil numbers;

☐ pupil age range;

☐ special needs/disabled access policy or requirements;

☐ other policy initiatives.

45 Where changes are anticipated, assessments should be made of the current position and the position following the changes. The area assessment format in Annex B is based on the assessment of the current position.

Legislation and Published Guidance

46 Sufficiency assessments should be in line with the requirements and standards set out in legislation and published guidance, particularly Building Bulletin 82 'Area Guidelines for Schools', which will be revised later this year to incorporate guidance related specifically to sufficiency data. The definitions of areas in Annex A are based on Section 77 of the School Standards and Framework Act 1998 and the Education (School Premises) Regulations 1999.

47 The Education (Information as to the Provision of Education) (England) Regulations 1999 will be amended later this year to provide for the use of the revised capacity assessment method as the basis of surplus places in schools, from June 2002.

Sufficiency Information Required by the DfEE

48 Initially, along with other sufficiency and efficiency indicators mentioned in this guidance, net area is intended for local capital planning purposes only and would not be requested by the Department.

49 As discussed above, the sufficiency information required by the Department for this year has only been the five area measurements already collected and the MOE capacity collected in this year's Surplus Place Survey return[4]. For this year, the 'team game playing field' area has been taken as that defined in Section 2 of the AMP Guidance. Future data collection exercises will be on the basis of the definition in the Education (School Premises) Regulations 1999 (see Annex A)[5].

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[4] *As required by the Education (Information as to the Provision of Education) (England) Regulations 1999.*

[5] *At the time of writing Section 2, it was envisaged that team game playing field area would be compared to other grounds areas as a measure of efficiency of use. It has since been associated mainly with a comparison with the requirements of the Education (School Premises) Regulations 1999, and as such should follow that definition (including counting the area of all-weather pitches twice).*

50 Net capacity information will be used by the Department for surplus place returns from June 2002, instead of present MOE capacity measures. Authorities will be asked to send the DfEE six items of verified sufficiency data, such that by June 2002, the AMP database should include, for all schools:

- ☐ the actual capacity;
- ☐ the total number of 'workplaces';
- ☐ workplaces in any established non-school or support use, as listed in paragraph 25 (and a description of those facilities).

51 These need not be measured or sent to the Department again (unless physical changes are made to any school buildings) except perhaps on a longer time-cycle. Annual returns would still be likely to be required by the Department to measure surplus places. These could include workplaces in areas temporarily not used by the school.

Information Required by Independent Surveyors

52 As discussed in paragraphs 32 to 35, independent surveyors will be collating the schedules of net area required as the basis of net capacity measurements. This will comprise a list of all spaces in the net area, with room references, if applicable, their area and their type (general, light practical, heavy practical or PE/performance) in the form shown in steps 1 to 3 of the proposed net capacity form in Annex C.

53 Any net capacity data passed on to the independent surveyors by Authorities (or by Dioceses or schools and via the Authority), should be in the same format, preferably on a computer spreadsheet.

Accuracy of Measurements

54 Because the net capacity is based primarily on the 'workplaces' in classbases in primary schools, or in teaching spaces in secondary schools, potential teaching areas need to be measured more accurately than ancillary spaces. We therefore

advise that the area of:

☐ any space above 6m^2, should be measured to the nearest 1m^2;

☐ any space, such as store rooms, clearly under 6m^2 can be estimated.

For verification, spaces between 25m^2 and 50m^2, for instance, should agree with the re-measurement to within 1m^2. In some spaces, such as stores of less than 6m^2, an estimated area would be acceptable.

ANNEX A: DEFINITIONS

Terms Used in This Paper

Admission Authority

The body responsible for school admissions policy, which is generally the Local Education Authority for Community and Voluntary Controlled schools, and the Governing Body for Foundation and Voluntary Aided schools.

Area Guidelines

DfEE Building Bulletin (BB) 82 'Area Guidelines for Schools' sets out upper and lower guideline formulae for the *gross area* of schools, the area of various types of teaching spaces, the area of various parts of school grounds and the *total site area*. Since the Education (School Premises) Regulations 1999 came into force, the definitions in Section 5: School Grounds, have been superseded. These will be amended in a forthcoming revision, but in the meantime the current definitions are used here to explain *playing fields* and *team game playing fields*.

Authority

In this document, Authority refers to Local Education Authorities (LEAs).

Basic Need

A DfEE Capital Allocation for additional school places in areas of population growth. Currently, the DfEE generally use *Standard Number capacity* (or *Number on Roll* if higher) as the basis for judging whether to accept a capital bid for Basic Need. If, within two miles (three for secondary schools) of the proposed additional provision, there is a school where the NOR in the relevant year is below its *Standard Number*, then that 'surplus' will be deducted from the Basic Need bid.

Capacity

The number of pupil places available in a school. The *MOE capacity* is the current method of assessing capacity from physical measurement of the school buildings, but the *Standard Number capacity* is the maximum number of pupils the school must take if there is demand.

Classbase

A classroom used in a primary school as a registration base.

Gross Area (m^2) also known as Gross Internal Area (GIA)

In line with the standard definitions for rateable valuation set by the Royal Institution of Chartered Surveyors (in the fourth edition of the Code of Measuring Practice) and the Valuation Office Agency (Code of Measuring Practice for Rating Purposes), gross area is the floor area of all school buildings maintained by the Authority or Trustees, measured over internal walls, stairs and lift wells, to the internal face of external walls. This will include all buildings, although some may be listed separately to allow useful comparison with formulae and benchmarking, but will not include:

☐ residential or farm buildings, used as such;

☐ buildings condemned by the Authority as structurally unsafe;

☐ areas under the control of service or external bodies and maintained by them (such as telephone or electricity services, the police or Health Service);

☐ external balconies, covered ways, fire escapes and canopies;

☐ areas with headroom of less than 1.5m.

MOE More Open Enrolment

A provision of the 1988 Education Reform Act, requiring an *Admission Authority* to admit pupils on demand up to each school's *Standard Number*.

MOE capacity

The current measure of the physical capacity of a school, based on the measurement of teaching area available; introduced following the 1988 Education Reform Act by DES Circulars 11/88 (secondary) and 6/91 (primary). The complexities involved are well explained in Appendix 2 of the Audit Commission management handbook 'Trading Places'. MOE is currently used:

☐ as one of the factors for determining a primary school's *Standard Number*;

☐ for surplus place returns to the DfEE;

☐ as supporting information for a request to the DfEE or SOCs for a school's *Standard Number* to be reduced; and

☐ as supporting information for capital bids aimed at removing surplus places.

Net Area (m^2) also known as Net Internal Area (NIA)

In line with the standard definitions set by the Royal Institution of Chartered Surveyors (in the fourth edition of the Code of Measuring Practice), net area is the *usable area* within a building, measured to the face of the internal finish of permanent walls (ignoring skirting boards and fixed furniture), at all floor levels.

The **usable area** includes all areas within the *gross area* except:

☐ **toilets and showers**, including any associated lobbies (including changing areas where these effectively form a lobby) and cleaners' cupboards with sinks (such that they can only be used to store and service cleaning equipment or materials);

☐ **plant space**, including lift rooms, boiler rooms, tank rooms, fuel stores, and any space occupied by permanent air conditioning, heating or cooling apparatus and ducting which renders that space substantially unusable;

☐ **internal walls**, including structural walls, non-structural partition walls, any wall enclosing excluded areas, columns, piers, chimney breasts, other projections and vertical ducts;

☐ **school kitchens**, used for preparing school meals for pupils, including the kitchen, related stores, office and washroom facilities for catering staff and servery areas, except those which are available for furniture storage or other uses at other times; it would not include dining or vending areas;

☐ **circulation space** for essential access, including any corridor, landing or balcony 2.5m or less wide, stairwells, entrance lobbies, lift wells, any *protected corridor* and *shared circulation* in mixed use areas that have a circulation route running through them.

Shared circulation is that part of an entrance hall, atrium, wide corridor or open plan area used for the purpose of essential access. It can be determined by either:

measuring, from a scale plan, the notional circulation routes between openings across the shared space, using appropriate widths (normally 1.5m);

or

estimating it as one of the following three proportions of the area of the space of which it is part:

- ☐ 85% (for instance in corridors between 2.5m and 3.5 m wide);
- ☐ 50% (for instance for shared resource areas or reception spaces);
- ☐ 15% (for instance for halls or classrooms with a single route through them).

In cases of dispute, it should be measured from a scale plan.

NOR Number on Roll

The total number of pupils registered at the school.

Published Admission Number (PAN) or **Admission Number**

The planned number of admissions for a particular age group, below which no pupil may be refused admission. It must not be less than the *Standard Number.*

Protected corridor

A corridor deemed to be for the use of escape in case of fire.

Playing field area (m^2)

The area, as defined in Section 77 of the School Standards and Framework Act 1998, that is: 'land in the open air which is provided for the purposes of physical education or recreation, other than any prescribed description of land'. The playing field area should exclude areas not held by the Authority, Governing Body or Trustees. Using the definitions in the current version of *'Area Guidelines'*, it can be interpreted as the *total site area* except for 'buildings and access' areas.

SOC Schools Organisation Committee

Under the School Standards and Framework Act 1998, which came into force on 1 September 1999, *SOCs* are locally set up to agree the School Organisation Plan (SOP).

SEN Special educational needs

Standard Number (SN)

The minimum number of pupils that must be admitted to the school in the normal year of admission, if there is the demand.

Changes to Standard Number *SOCs* (or if they cannot come to unanimous agreement, the Schools Adjudicator) are now responsible for agreeing any changes to Standard Numbers following publication of proposals and application to them by the Authority or the Governors of the school.

Standard Number capacity The effective capacity of a school, usually based on the Standard Number multiplied by the number of years catered for by the school.

Teaching area (m^2)

The area available for teaching and learning within the *net area* of all buildings, even if the space is not currently in use. This will include classbases, shared teaching areas, timetabled teaching spaces, untimetabled areas, and supplementary spaces such as music practice rooms and libraries. These types of spaces are defined in *'Area Guidelines'*.

Team game playing fields area (m^2)

The area, as defined in the Education (School Premises) Regulations 1999, taken together with the definition in the School Standards and Framework Act 1998, that is 'land in the open air which is provided for physical education or recreation which, having regard to its configuration, is suitable for the playing of team games and which is laid out for that purpose'.

The team game playing field area should include area not held by the Authority, Governing Body or Trustees. Using the definitions in the current version of *'Area Guidelines'*, it can be interpreted as:

- ☐ the area of what was previously known as grass 'playing fields' (including 'summer and winter games pitches and other provision such as cricket nets and athletics facilities' and their margins); plus
- ☐ the area of any 'all-weather pitches' (pitches with a hard-porous, synthetic turf or polymeric surface), counted twice; plus

- ☐ 'hard surfaced games courts' on tarmac (including tennis courts and multi-games courts).

Total site area (m^2)

The total area of any sites used by the school and owned by the Authority, Trustees or Governing Body, measured up to the centre-line of the boundary, including all *playing fields area*, any maintained access paths and roads, delivery and bins areas, car parking and the footprint of all maintained buildings.

ANNEX B: AREA ASSESSMENT

B1 Four of the six measurements of area outlined in paragraphs 17 and 18 can be used as sufficiency indicators by comparing:

the measurement of the actual:	**with the areas needed for the capacity and number on roll (NOR) based on:**
☐ teaching area of buildings;	formulae in line with the guidance in section 1 of 'Area Guidelines'[6];
☐ gross area of buildings;	lower guideline formulae in section 1 of 'Area Guidelines';
☐ team game playing fields area (counting all-weather pitches twice);	the requirements of the Education (School Premises) Regulations 1999[7];
☐ total site area;	lower guideline formulae in section 5 of 'Area Guidelines'.

B2 Initially these four areas can be compared to the requirements of the capacity. If any area is below that required it should be highlighted, but this will not be a priority unless the area is also short of that required by the NOR. If the current NOR is lower than the capacity, the area may be acceptable at present, although the area should then be compared to the needs of the forecast NOR, if it is rising.

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[6] *Relevant formulae for the teaching area will be calculated and published by the DfEE, based on the broken lines in the gross area graphs in Section 1 of BB82 'Area Guidelines for Schools', which in turn are based on the gross area multiplied by around 60%, depending on the size of the school. Individual judgements may need to be made about diseconomies of scale in primary schools with a capacity of around 90 or less - highlighted in BB82.*

[7] *For the purposes of the regulations, the area of all-weather pitches can be counted twice. It may therefore be useful to note any area of team game playing field that is an all-weather pitch. It may also be useful to identify the area that is hard surfaced games courts, as this is likely to be tarmac and may not be suitable for all games in the curriculum.*

B3 It is recognised that, initially, deficit in area is more likely to be an issue than surplus area. It is also perhaps easier to identify deficit by comparing totals to lower guideline formulae[8]. It is not envisaged that deficits in area, including the minimum for team game playing fields prescribed by regulation, would trigger any further funding from the Department for remedial work. An increase in the total site area may not, in any case, be achievable due to site constraints.

B4 These indicators are intended for local comparisons of school premises to help Authorities in managing their school stock and prioritising spending: a school with a site area surplus to its present capacity might offer the opportunity for enlargement, while one with a significant deficit of area might be a candidate for being made smaller or relocated in the future.

Format and Scoring

B5 To aid local decision making, any deficit should be scored using a simple marking system of 1 to 4 to help to prioritise the need for further investigation and possible capital work.

B6 The majority of respondents to the consultation felt that the scoring system proposed was useful and that it would be beneficial for all Authorities to use the same system. Therefore, the scoring system below should be used.

B7 This marking system should be used by all Authorities. It will help to locally prioritise the need for further investigations. If the actual measured area is:

- ☐ at or above that required for both the capacity and the NOR, score 1;
- ☐ below that required for the capacity but at or above that required for the NOR, score 2;
- ☐ at or above that required for the capacity, but below that required for the NOR, score 3;

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[8] *Comparing the upper guideline figure of 'Area Guidelines' may not be appropriate for highlighting surplus in many existing schools, as the Guidelines are aimed at new schools and, although a comparison would be a useful indicator, this would not allow for the range of existing plan forms, including those with generous circulation.*

☐ below that required for the capacity and the actual NOR, score 4.

These scores can be used when comparing the areas discussed in paragraphs 17 and 18.

B8 Those areas scoring '1' or '2' can also be scored on the basis of the forecast NOR. This will help to identify whether the area of buildings and grounds will continue to be sufficient for the likely increase.

B9 Those areas scoring '1' might also highlight where further investigations into possible surplus area could be made, bearing in mind the guidance for the disposal of playing fields that, where it already exists, sufficient site area for an increase in roll of 30 or 60 in each year (depending on the current NOR) should be held in popular schools[9].

B10 If the teaching area scores '4' but the gross area scores '1', this is likely to indicate that some adaptation of existing non-teaching area might provide the extra teaching area needed. However, this may not be possible due to the layout or plan of the buildings. This will be highlighted in the 'efficiency of use' ratios discussed below.

B11 In some schools, such as those on inner city sites, total site area may score '4' with little hope of ever achieving the guidance area used above. In these cases, this will at least highlight that the actual capacity may be towards the bottom of the allowable range, as described in the consultation paper on sufficiency. In box 's' on the proposed capacity assessment form, shown in Annex C, there is an additional allowance for sites which are less than half the lower 'Area Guideline' formula which may be applicable in these cases.

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[9] *Section 77 of the school Standards and Framework Act empowers the Secretary of State to protect school playing fields. Circular 3/99 Part III sets out the Secretary of State's criteria against which decisions will normally be taken.*

'Efficiency of Use' Indicators

B12 All six area measurements can be used to indicate the efficiency of use of buildings and grounds. As discussed in paragraph 18, teaching area as a proportion of net is a more robust measure of efficiency of use than using gross area. Similarly, 'playing fields area' (as defined in Annex A) as a proportion of total site area is a useful measure of the efficiency of use of grounds. The area assessment format at the end of this annex shows how these measurements can be compared.

B13 Again, these are broad-brush indicators that are only intended for local use. These would only be measured by the DfEE to help to compile some future guidance on realistic figures to aim for.

B14 Efficiency is linked to the economic performance of the premises (also identified as an aspect of suitability), which forms an over-arching part of AMPs. As such, efficiency of use indicators might highlight sites where remedial projects would have the best effect, when linked to an investment appraisal.

Benchmarking

B15 The figures for net area, if available, and playing fields area can also be usefully compared with other similar sites as a benchmarking exercise. In the longer term, as more data and good examples are collected, guidance formulae for these areas, like those produced for gross area in 'Area Guidelines', may be calculated and published by the Department.

PROPOSED AREA ASSESSMENT FORMAT

EXAMPLE 1: Primary School

	teaching area	net area (NIA)	gross area (GIA)	team game playing fields area	playing fields area	total site area
Measured areas (m²)						
total maintained areas	753	1,008	1,324[1]	1,100[2]	5,610[3]	9,160[4]
non-school and support areas						
Early Years and Child Care provision	55	76	98[5]	-	210[6]	360[7]
specially resourced facilities (including for pupils with SEN)	-	-	-	-	-	-
adult learning and skills facilities	-	-	-	-	-	-
remaining totals						
maintained areas	698	932	1,226[8]	1,100[9]	5,400[10]	8,800[11]
maintained and non-maintained areas	698	932	1,226	6,100[12]	10.400[13]	13,800[14]
Required areas (m²)						
for capacity of **298**	710	-	1,183	5,000	-	12,387
for current NOR of **290**	694	-	1,156	5,000	-	12,135
for forecast NOR of **314**	743	-	1,238	5,000	-	12,891
Scores						
based on current NOR (see paragraphs B5-11)	2		1	1		1
based on forecast NOR (see paragraphs B5-11)	4		3	1		1
Efficiency of use measures						
maintained area as a proportion of net area	75%	-	132%			
maintained playing fields as a proportion of total site area				-	61%	-

[1] Includes areas 1 and 7.
[2] Area 3 only.
[3] Includes areas 3, 4, 5 and 8.
[4] Includes areas 1, 3, 4, 5, 6, 7 and 8, plus 52m² for access to Early Years Centre (unmarked).
[5] Area 7 only.
[6] Area 8 only.
[7] Includes areas 7 and 8, plus access (see 4 above).
[8] Area 1 only.
[9] Area 3 only.
[10] Includes areas 3, 4 and 5.
[11] Includes areas 1, 3, 4, 5 and 6.
[12] Includes areas 2 and 3.
[13] Includes areas 2, 3, 4 and 5.
[14] Includes areas 1, 2, 3, 4, 5 and 6.

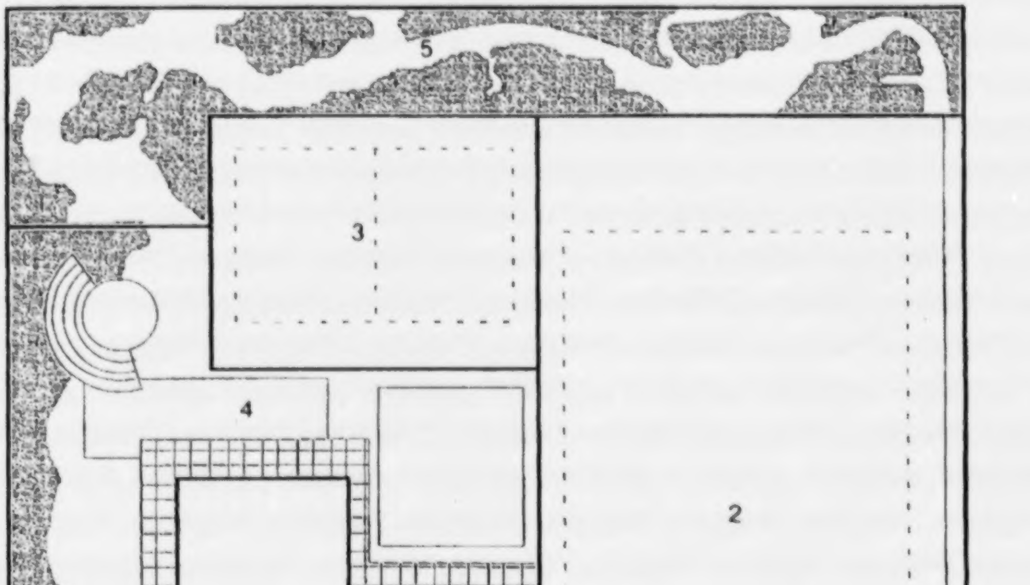
Area numbers refer to plan opposite.

Guinevere Community Primary School, Wessex

Example 1 is a primary school with a current NOR of 290, increasing to 314 next year. There is also an Early Years Centre for 26 (full time equivalent) 3 and 4 year olds on the site.

KEY:

1. School buildings. Gross area 1,226m².
2. Grass playing fields 5,000m².
3. Hard surfaced games courts 1,100m².
4. Informal and social areas 2,000m².
5. Habitat areas 2,300m².
6. Access 2,174m².
7. Early Years Centre. Gross area 98m².
8. Early Years Centre. Playing fields area 210m².



PROPOSED AREA ASSESSMENT FORMAT

EXAMPLE 2: Secondary School

	teaching area	net area (NIA)	gross area (GIA)	team game playing fields area	playing fields area	total site area
Measured areas (m^2)						
total maintained areas						
non-school and support areas	3,327	4,228	5,425[1]	46,160[2]	58,360[3]	73,985[4]
Early Years and Child Care provision	-	-	-	-	-	-
specially resourced facilities (centre for pupils with sensory impairments)	137	198	263[5]	-	-	-
adult learning and skills facilities	-	-	-	-	-	-
remaining totals						
maintained areas	3,190	4,030	5,162[6]	46,160	58,360	73,985
maintained and non-maintained areas	3,947	4,963	6,558[7]	46,160	58,360	73,985
Required areas (m^2)						
for capacity of **1,000**	3,953	-	6,700	45,000	-	70,000
for current NOR of **989**	3,918	-	6,640	45,000	-	69,384
for forecast NOR of **952**	3,797	-	6,436	45,000	-	67,312
Scores						
based on current NOR (see paragraphs B5-11)	2		4	1		1
based on forecast NOR (see paragraphs B5-11)	2		2	1		1
Efficiency of use measures						
maintained area as a proportion of net area	80%	-	132%			
maintained playing fields as a proportion of total site area				-	86%	-

---

1. Includes areas 1 and 8.
2. Includes areas 2, 3 (counted twice) and 4.
3. Includes areas 2, 3, 4, 5 and 6.
4. Includes areas 1, 2, 3, 4, 5, 6, 7 and 8,
5. Area 8 only.
6. Area 1 only.
7. Includes areas 1 and 9.

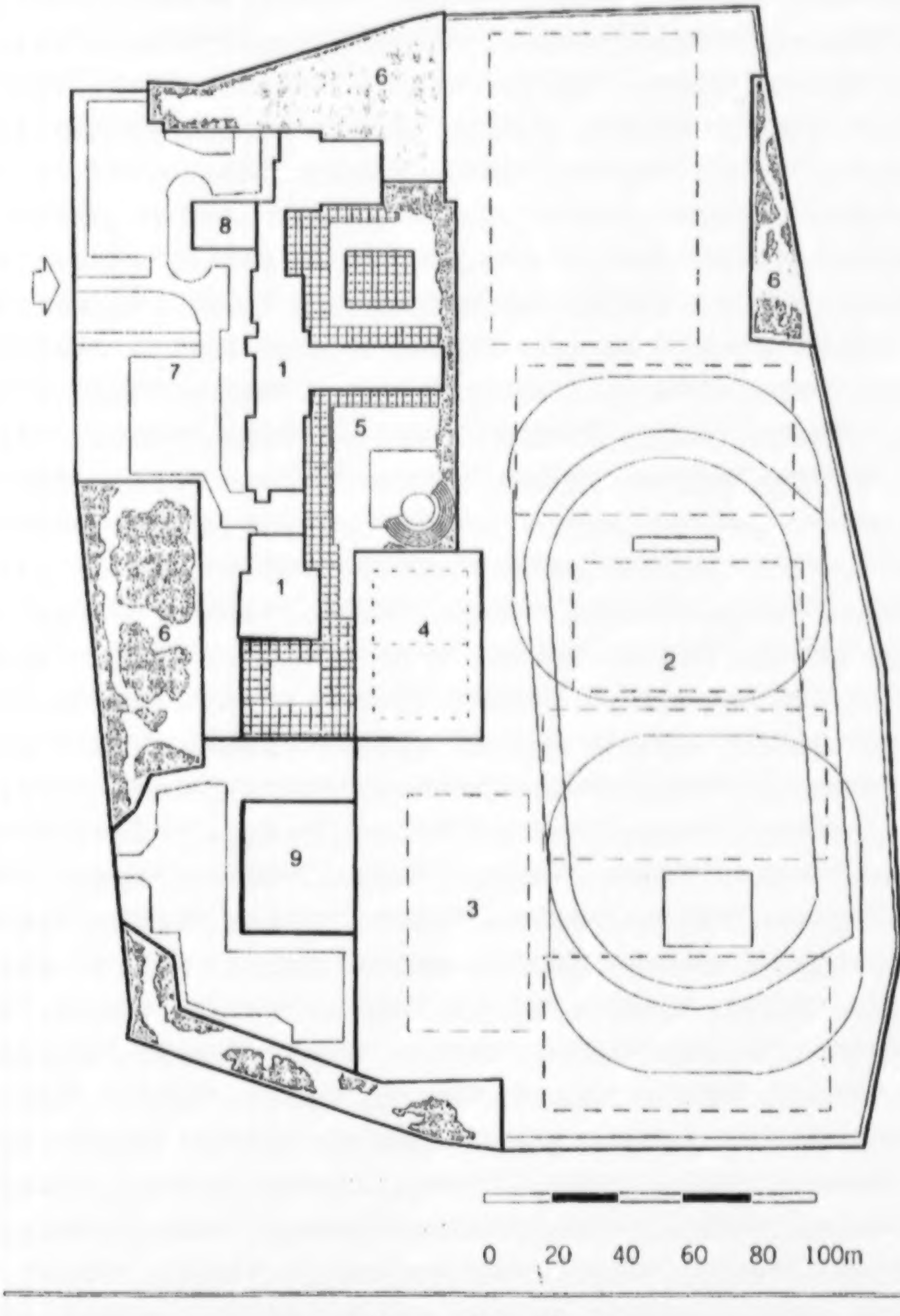
Area numbers refer to plan opposite.

Sir Lancelot Community Secondary School, Wessex

Example 2 is a secondary school with a current NOR of 989, decreasing to 952 next year. There is a centre for pupils with sensory impairments on the site and the school shares a joint-use sports facility (including a sports hall and fitness centre) on an adjacent site.

KEY:

1. School buildings. Gross area 5,162m².
2. Grass playing fields 38,260m².
3. All-weather pitch 2,800m².
4. Hard surfaced games courts 2,300m².
5. Informal and social areas 5,850m².
6. Habitat areas 9,150m².
7. Access 10,200m².
8. Centre for pupils with sensory impairments. Gross area 263m².
9. Joint-use sports facility. Gross area 1,396m².



ANNEX C: PROPOSED NET CAPACITY ASSESSMENT FORM

Detailed guidance on the revised capacity assessment method and how to use it will be published later this year. It will include examples and frequently asked questions. This annex shows the current proposed net capacity assessment form for primary schools, on which we would welcome comments. Details of the form for both primary and secondary schools and how to comment will be on the AMPs page of the DfEE website (www.dfee.gov.uk/amps/index.htm). Comments received by 30 April 2001 will be noted and may be included in the form. However, we do not envisage the key methodology in steps 1 to 4 (the schedule of spaces) being revised further.

CAPACITY ASSESSMENT FORM FOR PRIMARY SCHOOLS: **EXAMPLE**

Please read explanatory notes (in net capacity guidance) before filling in this form for the first time. This form can be used for any primary school, middle deemed primary or first and middle school. Use this page to identify the basic information required. Use the net area schedule on page 3, plus further copies as necessary, to list all spaces in the school, following the notes on page 2. Only complete section B if you have a nursery, specially resourced SEN support centre, Learning Support Unit (LSU) or adult learning facilities, used during the school day, on site.

Section A: School Details

LEA Wessex date Feb-01

school name King Arthur Community Primary School

DfEE LEA/school number 765/4321

age range 5 to 11

The boxes below need only be completed if the school is on a small or split site or has more than one admission number.

total site area ☐ m²

no. of sites 1

	first admission year			(second admission year, if applicable)		(third admission year, if applicable)	
normal age of admission	R		for instance 'Y2' or 'R' if reception (do not include nurseries: see section B)				
number of years up to age 11	7	a	number of years that those in the admission year will be at this school (e.g. '7')		c		f
planned admission number(s)	30	b	(allowing for infant class size limits)		d		g
				0	e	0	h
				e = (c x d) / b		h = (f x g) / b	
number of age groups	7	n	(a + e + h)				

Section B: Details of Areas Not Included in School Capacity

established early years provision on site, if any

number of full time equivalent places ☐ age range ☐ to ☐ Note with an 'E' in step 4

LEA designated specially resourced facilities, if any

Such as an SEN support centre (additional to the school's SEN resource base and other standard SEN facilities), or a Learning Support Unit.
Note with an 'R' in step 4.

number of places for pupils with SEN ☐

description of facilities ☐

approved adult learning facilities, if any

Such as learning centres, teacher training, IT for All.
Note with an 'A' in step 4.

description of facilities ☐

CAPACITY ASSESSMENT FORM FOR PRIMARY SCHOOLS: **EXAMPLE**

Use the net area schedule on page 3, plus further copies as necessary, to list all spaces in the school, following the notes below. Allocate each room a type, as listed below, and indicate the measured area in square metres. Finally, allocate the status of each space, as applicable.

Net Area Schedules (and allocation of workplaces)

DEFINITIONS & FORMULAE TO USE IN NET AREA SCHEDULE(S) (opposite):

STEP 1: reference, name and area (m^2) of all spaces in net area of all buildings

Include **all** usable spaces, both teaching and non-teaching, in the total net area; that is all spaces **except:**

- residential or farm buildings in use as such;
- buildings deemed by the Authority to be structurally unsafe;
- areas under the control of service or external authorities (such as for telephone or electricity services, the police or health service);
- open-sided covered areas;
- toilets, including lobbies, and showers (including changing rooms with showers);
- plant space such as boilers, ducts or electrical intake cupboards;
- cleaners' cupboards (fitted with sink or similar, under $2m^2$);
- school kitchen facilities, including kitchen staff facilities and stores, used for preparing school meals;
- circulation routes. See explanatory notes when identifying shared circulation areas.

STEP 2: definitions and formulae for type of space

Identify each space as one of the following types, by entering '1' in the appropriate column (or use a decimal fraction (e.g. 0.6) to identify the proportion of the average teaching week that the space is available to the school).

Round up the following formulae to the nearest whole number to calculate the number of workplaces for each type of space:

GENERAL
Any area which is not a specialist space, as described below (including classbases, associated shared practical areas and any wet, practical or ICT area within classrooms or shared teaching areas).

(area/1.5)-3
if less than $6m^2$, note as 1 workplace

SPECIALIST*
All halls (including any stage area), dining, drama, dance, music spaces, swimming pools; enclosed spaces equipped with specialist fixtures to provide dedicated ICT rooms, libraries, specialist practical spaces including food and ceramics; middle school science laboratories, art rooms and multi-materials workshops.

if under $75m^2$ **(area/2.5)-4**
if $75m^2$ or more **(area/12.5)+20**
if less than $12m^2$, note as 1 workplace

STEP 3: definition of workplaces

BASIC WORKPLACES are those between 15 and 30 or, in larger spaces, the highest multiple of 30 (e.g. 60, 90, etc.), unless marked 'U'.
RESOURCE WORKPLACES are those in spaces with less than 15 workplaces, or the remaining workplaces in spaces with more than 30.

STEP 4: definitions for the 'status' of each space

Use the appropriate code letter to note if any space is excluded from the capacity by being one of the following.

S	CHAPEL, SEN RESOURCE BASE OR PARENTS' ROOM, identify only one of each, unless the school is on a 'split site', as defined by the Authority, when up to one may be identified for each site, where appropriate.
E	EARLY YEARS PROVISION, on site, approved by the Authority as part of its Early Years Development Plan, as noted in section B.
R	LEA DESIGNATED SPECIALLY RESOURCED FACILITIES, as noted in section B.
A	APPROVED ADULT EDUCATION FACILITIES, as noted in section B.

Or if any space is included as one of the following.

C	SPACES USED BY THE SCHOOL AS CLASSBASES, including any associated part of shared teaching area, if appropriate.
U	UNUSABLE AS BASIC WORKPLACES. Spaces unusable as potential classbases, for health and safety reasons agreed by the Authority (such as basements, sheds or loft spaces used only for storage), or in swimming pools, serveries, dedicated cloakrooms (with fixed benches and hooks) or areas predominantly for circulation (such as malls or atria). When a space is marked 'U', all workplaces should be entered in the 'resource workplaces' column.

The use of space for non-school or support functions not covered in Section B, such as community facilities also available to the school during the school day or ad-hoc playgroups, can be noted separately.

**The method for secondary schools will include general, light practical, heavy practical and large and performance space types.*

CAPACITY ASSESSMENT FORM FOR PRIMARY SCHOOLS: **EXAMPLE**

NET AREA SCHEDULE FOR PRIMARY SCHOOLS

DfEE no. 765/4321 school King Arthur Community Primary School sheet no. 1

STEP 1				STEP 2		STEP 3		STEP 4
room reference	ROOM NAME (based on the activities the room is designed or equipped to accommodate)	excluded area, if measured (m^2)	included (net) area (m^2)	general	specialist	BASIC WORKPLACES	RESOURCE WORKPLACES	status
01	CLASSBASE (15% circulation)	11	61	1		30	8	C
02	CLASSBASE (15% circulation)	11	61	1		30	8	C
03	STORE		10	1		0	4	
12	CLOAKROOM		10	1		0	4	
13	MEDICAL ROOM		6	1		0	1	
17	CLASSBASE		63	1		30	9	C
20	CLOAKROOM		12	1		0	5	
21	CLOAKROOM		6	1		0	1	
24	CLASSBASE		61	1		30	8	C
27	CLOAKROOM		6	1		0	1	
28	SEN BASE		15	1		0	7	S
33	STORE		2	1		0	1	
34	CLASSBASE		65	1		30	11	C
35	MOBILE CLASSROOM		52	1		30	2	C
36	STORE		1	1		0	1	
37	STORE		1	1		0	1	
38	CLASSBASE		52	1		30	2	C
40	STORE		28	1		0	16	U
42	LIBRARY (50% circulation)	28	28		1	0	8	
43	STORE		4	1		0	1	
44	MUSIC STORE		4	1		0	1	
45	FOOD ROOM (50% circulation)	16	16		1	0	3	
47	GYM STORE		12	1		0	5	
48	HALL		181		1	30	5	
49	ENTRANCE (85% circulation)	12	2	1		0	1	
50	CARETAKER'S STORE		3	1		0	1	
53	STAFF ROOM		34	1		20	0	
54	SECRETARY		8	1		0	3	
55	HEAD		12	1		0	5	
58	ICT ROOM		58		1	20	0	
61	RESOURCE AREA		42	1		25	0	
	totals carried over as necessary	78	916			305	123	

CAPACITY ASSESSMENT FORM FOR PRIMARY SCHOOLS: **EXAMPLE**

Section C: Workplaces Not Included in Capacity Calculation

	BASIC WORK-PLACES	RESOURCE WORK-PLACES	These workplaces can be noted here, if known, to help the Authority to ensure the amounts involved are appropriate.
Chapel, SEN resource base, parents' room	0	7	total of spaces marked 'S' at step 4; only one of each for any site.
nursery and early years facilities	0	0	total of spaces marked 'E' at step 4; as noted in section B.
specially resourced facilities	0	0	total of spaces marked 'R' at step 4; as described in section B.
adult learning facilities	0	0	total of spaces marked 'A' at step 4; as described in section B.

Section D: Capacity Calculation

	BASIC WORK-PLACES	RESOURCE WORK-PLACES	All calculations below should be rounded down to the nearest whole number.
TOTAL WORKPLACES INCLUDED IN CAPACITY	305 p	116 q	totals of spaces not marked 'S', 'E', 'R' or 'A' at step 4.

capacity based on classbases	210	r	basic workplaces in spaces marked 'C' at step 4, or ((p + q) x 70%), if lower.
allowance for hall and staff facilities	50	s	50 x number of sites, plus 50 if total site area is less than (1500 + (15 x r))
maximum workplaces available in classbases	210	v	(r), or ((p - s) x 70%), if higher.
minimum workplaces available in classbases	157	w	lower of (v x 90%) and v rounded down to nearest multiple of (30 x b / 4) below v.
capacity based on planned admission no.	210	x	(b x n)
ACTUAL CAPACITY	210	y	if x is more than v, then y = v if x is between v and w, then y = x if x is less than w, then y = w

Section E: Indicated Admission Number(s)

	first admission year			(second admission year, if applicable)	(third admission year, if applicable)
indicated admission number(s)	30	z	(y / n) rounded down (n, c, e, f and h as calculated in section A)	0	0
				(z x e)/c	(z x h)/f

Section F: Declaration of Accuracy

We confirm that we are satisfied with the accuracy of the exclusions (sections B and C) and the status of spaces (step 4) on this form.

		Date			Date
Signature of Head Teacher		/ /	Signature on behalf of Admissions Authority		/ /

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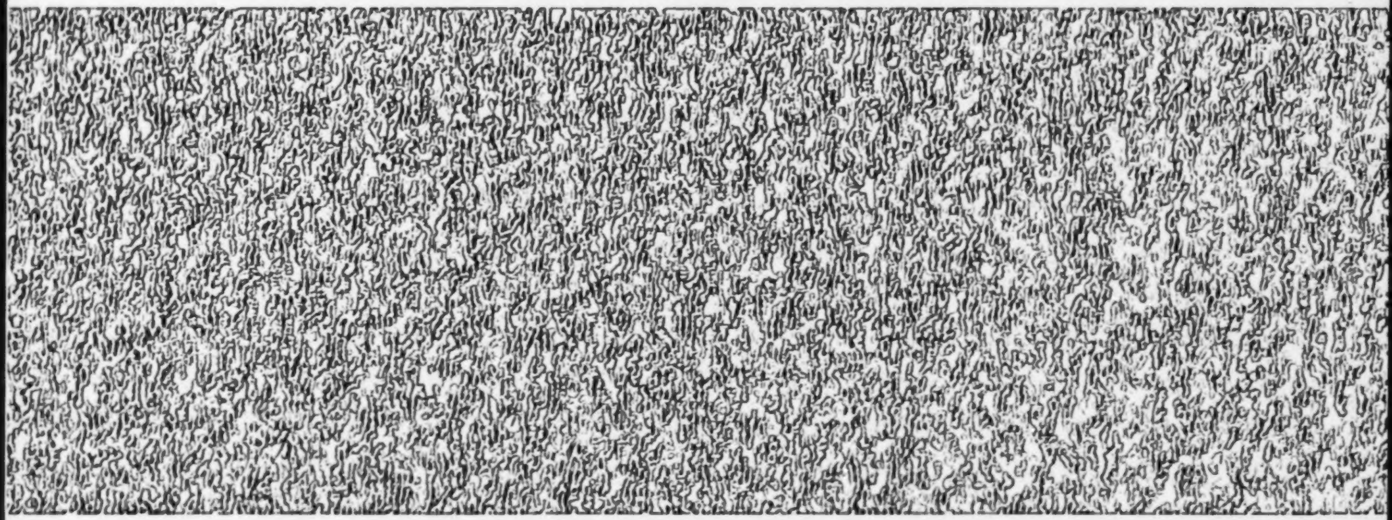

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